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ABSTRACT

Asking the question, "What might a good university international development project look like?" this book examines a number of university international development projects, encompassing foreign student intakes, student exchange programs, faculty research and teaching, extension education, and business and public service advisory projects. The first of five parts reviews perspectives on development and the principles and processes of international partnerships. The second, third, and fourth sections explore projects ranging from first-generation individual and short-term activities, to second-generation more structured international projects and their cycles, to third-generation open-ended projects and networks. Matrices provide contrasting frameworks, indicative of Northern and Southern perspectives and ideas are offered about how universities might generate additional benefits or reduce costs. Part 5 explores issues related to institutional management and capacity building. Appendices include: a copy of a 1991 statement concerning environmentally sustainable development issued by a gathering of university representatives in Halifax, Canada; a summary of the important facets of linkage; an abstract of ideas from the Centre for International Programs, University of Guelph (Ontario); the seven fundamental principles of the Red Cross and Red Crescent movements; an Association of Universities and Colleges of Canada (AUCC) survey on internationalization; and excerpts from AUCC's publication "UniWorld." (Contains 40 references.) (CH)

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Working with Neighbours: University Partnerships for International Development

by

Ian McAllister

August 1996

Association of Universities and Colleges of Canada

Association des Universités et Collèges du Canada

The Association of Universities and Colleges of Canada represents Canadian universities at home and abroad. Its mandate is to foster and promote the interests of higher education. AUCC is a not-for-profit, non-governmental association established in 1911. Its members fund core activities of government relations, research, information services and international cooperation. Members are represented within the membership and on the association's governing bodies by their presidents.

AUCC's international relations and programs encompasses a wide range of information, policy and management activities related to international higher education and human resources development in developing countries.

Working with a network of international liaison officers at member institutions, AUCC's international relations and programs organizes workshops and international conferences, administers programs that link Canadian universities with institutions in both the South and the North and speaks for the Canadian university community at international meetings.

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Views presented in this publication are those of the author.

Acronyms and abbreviations

AUCC	Association of Universities and Colleges of Canada
CAUT	Canadian Association of University Teachers
CIDA	Canadian International Development Agency
DAC	Development Assistance Committee, OECD
GDP	gross domestic product
GNP	gross national product
HDI	human development index
IAU	International Association of Universities
IDRC	International Development Research Centre
LFA	logical framework analysis
NGO	nongovernmental organization
ODA	overseas development assistance
OECD	Organization for Economic Cooperation and Development
Oxfam	Oxford Committee for Famine Relief
UNDP	United Nations Development Programme
UNESCO	United Nations Educational, Scientific and Cultural Organization

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Preface and Acknowledgements

A few years ago, while reviewing large numbers of funding proposals submitted by National Red Cross and Red Crescent Societies, I found myself wondering just what a good Red Cross project might look like. What qualities do, or perhaps should, distinguish a Red Cross project from an Oxfam or a government foreign aid project, or indeed a university or private-sector one? That led to a small book *Projects for Relief and Development* (McAllister 1991).

I have been encouraged to write a somewhat similar booklet that might be of use to those working on university projects, particularly projects with an international orientation. What might a university's international project look like? Following the pattern of the Red Cross book, as many questions will be raised as answers suggested. If this sparks further ideas and some useful results, the venture will have been worthwhile.

My experiences with university projects overseas date back to 1974, when a colleague, Alasdair Sinclair, and I visited Ghana, under CIDA auspices, at the invitation of the Ghanaian Ministry of Economic Planning "to review the planning process in Ghana." We viewed numerous foreign-aid funded projects, but were particularly impressed by some of the activities being undertaken by the University of Ghana and the University of Guelph. A number of characteristics distinguished those managing them, most notably a sincere respect for the ideas and cultural traditions of the people in rural communities and, at the same time, an unflustered and pragmatic style in sorting out problems with both Ghanaian and Canadian bureaucracies.

From that point on, I have been directly and indirectly involved in a variety of university activities overseas. This booklet draws on some of those experiences as well as on various reports, conversations and publications. Particular gratitude is owed to Hilda Bateman, Keith Bezanson, Rolland Djang, David Elder, Mahdab Gimiri, Arthur Hanson, Tom Kent, Barry Lesser, Amon and Gloria Nikoi, Lewis Perinbam, Alasdair Sinclair, Malcolm Thompson, Cecil Tuck (deceased) and Ernie Weeks, who were much valued colleagues in connection with various international assignments.

Many ideas here owe their origins to Tom Kent's collaboration in writing *Management for Development* (particularly the segments on project financing and management), as well as to Mary Anderson's most useful seminars and book (with Peter Woodrow), *Rising from the Ashes*. The thoughtful works on Canadian experiences by John Cairns, Rodger Schwass, James Shute and Norma Walmsley have been of great help over the years, as have numerous reviews from the Association of Universities and Colleges of Canada (AUCC), including *UniWorld* magazine.

Acknowledgement is due to Valdemar Larsen, AUCC, for prodding me to try my hand at this book and for helpfully reacting to its successive transformations, frequently with the provision of useful background reports and notes from their files. Karen McAllister's help in the selection of Southern "viewpoints on aid cooperation" was much appreciated. Christel Hervet-Léger generously helped to design the diagrams. Mary-Jane Kippers (AUCC), Irina Gribovsky (IDRC)

and Pierre Vachon (CIDA) were very helpful in selecting photographs. Darlene Gibbs and Jennifer Goldstone were most helpful in guiding this manuscript through its final stages, for which I am extremely grateful.

Among others who read drafts, quite rightly dumped cold water on much, and made constructive suggestions in a most generous manner are Emery Fanjoy, Eva Egron-Polak, Pat Rodee, Alasdair Sinclair and Chris Smart. The conscientious help of Monique Comeau and Heather Lennox, who typed and provided much other support in the production of successive drafts, is very gratefully recognized. Without their constant assistance I do not believe this could have been completed.

A final caveat. This is primarily written for colleagues — whether students, administrators, or university faculty members (in the North and South) — who are subject specialists and may not have read a great deal about international development as a theme, but are nevertheless becoming involved in some aspect of a university linkage project and wonder what they might be getting into. For that reason, the first chapter includes a brief survey of some of the changing concepts of development.

Introduction

Most universities have a variety of overseas connections. Some are informal and individualistic, others are extensive and have a long history, many are (See sample projects in Appendix 7.) somewhere in between. Some are mostly with Northern nations, some are with Southern institutions. Foreign student intakes, student exchange programs, faculty research and teaching activities, extension education and community, business or public service advisory arrangements are to be found within the mix. The benefits of internationalization are widely promoted in convocation addresses and can be found embedded in many university mission statements.

The primary focus of this book is one segment of these connections — international development projects. Many are supported by foreign aid agencies and the general interface has been North–South. However, care must be taken not to compartmentalize such activities. The configuration of endeavours that constitutes a development project can be complex and part of an evolving process.

This booklet contains five parts. The first sets the context. Ideas about development and appropriate forms of development assistance have been in a constant state of change; thus, a code of conduct for university international cooperation is suggested to have merit. The second, third and fourth parts are hinged by two matrices. Many of the international links forged by universities fit into one of three categories: individual and short-term activities; more structured projects; or complex, open-ended programs or networks. The matrices provide contrasting frameworks, indicative of Northern and Southern perspectives. Ideas are offered about how universities might generate additional benefits or reduce some costs. The fifth part explores institutional management and capacity building issues.

Throughout, it is argued that there are individual and institutional lessons to be gleaned not only from the experiences of other universities, but also from those of other partners in development cooperation, be they United Nations or government departments, businesses or nongovernmental organizations.

A central theme is that university projects do have some distinctive qualities. It is relevant thus to ask "What might a good university international development project look like?"

PART 1: Partners in Development

What is needed today is the moulding of a new ethos and new arrangements for building an understanding among people, countries, and regions.

— N.N. Moiseyev, member, Academy of Science, Moscow

In 1969, Lester B. Pearson, as chairman of the Commission on International Development, concluded what was destined to become a landmark among postwar reports on foreign aid — *Partners in Development* (Pearson 1969). The gaps between North and South were starkly documented and Pearson called upon Northern governments to commit at least 0.7% of gross national product (GNP) as official development assistance (ODA).

> Making aid effective is not simply a question of procedures and techniques. Even more important is overall organization and purpose. As the aid system has grown, its channels have multiplied and tangled. Unless this machinery acquires greater coherence, aid cannot be used to best advantage.

Few countries other than the Nordics and the Netherlands either attained or sustained Pearson's minimal ODA target of 0.7% of GNP. Over the past 25 years, Canadian disbursements have fluctuated around 0.4 to 0.5% of GNP. The international aid machinery remains a tangled web, albeit substantially different in scale and mix of delivery systems than when Pearson reported. As then, aid programs and projects are the products of many conflicting intentions.

Cross-cultural exchanges between East and West should not only focus on the transfer of scientific, technological advancements but should also lead to a dialogue about ethical and spiritual values of the great civilizations in the East and West.

— Professor Wang Fengxian, China

The idealism of the Pearson era may have been tempered through subsequent experiences in aid programming and development cooperation, but it is far from vanquished. Among students and faculty at Canadian and overseas universities, idealism and a sense of commitment to international partnerships for development remain both strong and purposeful.

In this chapter a sample of changing perspectives on development is followed by introductory comments on universities as development partners and the codes or principles on which such relationships might be built.

Perspectives on development

The concept of development, as of beauty, rests in the eye of the beholder. For a local politician in a Canadian city, development may be what happens on this or that side of a railway track. Success is measured in votes. For an international business person, development may be opportunities for new ventures in a global marketplace, disciplined by the tensions of commercial profits and losses. For many nongovernmental organizations (NGOs), the term development is used to mean the strengthening of their own structures, as often as to describe their projects or programs to strengthen communities. For a refugee woman in sub-Saharan Africa, development is likely to be viewed in terms of personal security and resources to feed and clothe her hungry children. For many government bureaucracies and larger development banks, the progress of development is often measured by declining budget deficits or growth of GNP and GDP — indicators that contain little information about the impact of macroeconomic policy changes on the social fabric of straining societies, on the poorest of the poor, or on the natural environment. Few words, indeed, can have more nuances (and thus less coherence of policy goals and approaches) than "development."

Universities have also used development in a variety of ways. In many, the "office of development" or "director of development" is often charged with fund raising or alumni affairs. Those same institutions may also have a centre for development projects (defined as activities with developing nations), an academic program of development studies (regional or international comparative studies) and a research and development unit (with a mandate to harness research to opportunities in the private sector).

Over time, ideas about both the concept of, and the processes for attaining, "development" have evolved considerably (Meier 1984; Singer and Sumit 1993; Gillis et al. 1996; see also Rodwin and Schön 1994). As the auditor general of Canada (1993) remarked in a recent report on CIDA programs, "It is not simply a matter of completing a technical task according to a blueprint, funding the activity and assuming that the desired results will follow."

The size and scale of many of the more "conspicuous development projects" of the 1950s and 60s (including ports, refineries, steel plants, agro industry complexes, hydro-power dams and many health and educational institutions) were much influenced by the belief that bigger was better. Capital was widely viewed as the engine of growth and, given skilled labour, substantially unfettered markets and basic institutional infrastructure, there was considerable support for this theory in the re-construction phases of post World War II industrialized economies.

Many developing nations, although they usually had very different proportions of land, labour and capital, also placed earlier hopes on Northern economic models -- including emphasis on heavy industry and large-scale social and economic infrastructure projects. Whether the push was to be "unbalanced" (to kick start economic growth) or "balanced" (to be more evenly spread across sectors and regions), modern technology was widely held to be king.

The need for skilled people to contribute to the post-World War II surge in economic growth generated a growing demand for universities, community colleges and their respective graduates. This was the case in both North and South. When it was found that the skills required and supplied did not always mesh, this was seen to be less a reflection on particular development theories than on the adequacy of the universities' and colleges' responses. Research links were also viewed as integral to the development process. "Appropriate technology" and "relevant research" became part of the jargon of development planners — in Northern and Southern institutions.

Manpower planning is subject to forces outside the control of the forecasters, the national economic activity is, in part, controlled by international trends and interests. Neither manpower planning nor the higher education institutions can be blamed totally for a mismatch between graduate supply and market demand. On the other hand, the money spent on higher education represents an investment by all citizens — some of whom will receive little or nothing in return — in the future of society. This investment is wasted when the skills and talents of the highly educated cannot be put to productive use, and it is probably misappropriated when the most highly educated leave the country for more lucrative employment elsewhere.

— Unesco, Thailand, 1988

The impact of the Organization of Petroleum Exporting Countries (OPEC) on oil prices in 1973 and the energy-triggered inflation of international indebtedness, especially of many developing nations, led to a rash of structural adjustment policies, as well as to enhanced recognition of the complexities of development. The United Nations Development Programme (UNDP) promoted and refined an indicator parallel to GNP — namely the human development index (HDI) — a useful initiative and one that is becoming widely accepted by development agencies. Led substantially by feminist movements in the North, the role of women in development (including the economic and social benefits to be gained by enabling girls to acquire education and access to health care) became more widely appreciated, as did broader interpretations of human rights beyond the war-based basics of the Geneva conventions. "Small," it was argued, can be "beautiful," there are "limits to growth" and an escalation of conflicts can be anticipated — between economic expansion, population pressures, income distribution and environmental conservation.

> *It seems to me that the universities of the continent must not only be aware of these problems [of development], but also assume a greater responsibility for solving them. This is what institutions of higher education must prepare for and this is how cooperation among institutions and nations can produce the greatest benefits.*
> — Lauro Ribas Zimmer, a former president of the Inter-American Organization for Higher Education

Twenty years after the environmental initiatives of the UN conference in Stockholm and much influenced by the thoughtful analysis of the Brundtland Report (*Our Common Future*, 1987), the Rio Earth Summit (1992) heightened awareness of the risks of unbridled economic growth. Sustainable development became widely promoted as the building block for future survival; yet, given the pace of global economic expansion and the escalation of consumer demands, the overall impact of this "wake-up call" remains disappointingly meagre.

Most recent years have seen development concepts and aid programming not only buffeted by the priorities of "core" government departments (many of which are being downsized and seeking other avenues for traditional program delivery), but also coloured by the legacies of Margaret Thatcher and Ronald Reagan. A growing number of nations have swung away from (more aid-friendly) neo-Keynesian economic policies to a stilted "price is right, the market knows best" philosophy. Narrow interpretations of economics have largely edged out those concerned about broader social frameworks.

This widespread trend was exacerbated by the fall of the Berlin wall and the increased reform pressures and business opportunities in Eastern Europe and the former Soviet Union. The rapid pace of economic growth in Southeast Asia, including parts of China, has seen Western concerns for expanding markets out-distance considerations for human rights and freedoms.

The Gulf War, followed so swiftly by crises in Somalia, Bosnia and Rwanda, infused a further dimension into the meaning of development cooperation. Earlier disasters, especially the Biafran war and Ethiopian famines, had given rise to faltering recognition of the continuum of relief and development — now peacemaking joined the vocabulary as a proactive form of peacekeeping. Universities have already become extensively involved in these situations, and may be expected to more and more. Often they are (and will be) working with new kinds of partners, including the military and quasimilitary, peacekeeping training institutions and the often fiercely independent international NGOs.

> *I have a feeling that the contributions which universities have made to development in the industrialized societies over the centuries are taken for granted, and that the relationship between university and development in developing countries is much more real, and that we are much closer to the question of participation in development. I also suspect that the slowness with which universities have come to grips with questions of the environment demonstrates the slowness of universities to adapt to a rapidly changing world.*
> — Dr Walter Kamba, president, International Association of Universities, Zimbabwe

Many of today's Canadian university projects trace their origins to the 1970s (Walmsley 1970; Schwass 1978; World Bank 1989; Miner 1991). Fortunately, that period coincided with the early and formative phases of both the Canadian International Development Agency (CIDA) and the International Development Research Centre (IDRC). ODA budgets were relatively unencumbered with previous commitments, nor had they been closely integrated with the objectives of other government departments. There was no large legacy of Canadian foreign aid programming, with the modest exception of India. Funding agencies and universities alike had some scope for experimentation.

Universities were becoming viewed by governments (and agencies such as the World Bank) as instruments that could help implement national development policies. This perception gathered momentum in the 1980s and a growing number of Northern universities were funded, quite liberally, to undertake projects overseas. Some activities were with partner universities, but many were also with governments, businesses and, on a smaller and patchier scale, with NGOs.

Universities as partners in development

Whether new or old, in the North or South, universities have had three main mandates: teaching; research and the guardianship of knowledge; and community service and outreach.

University partnerships are far from recent or novel. Many Canadian universities, for example, developed their own departmental programs in close cooperation with longer-established organizations in the United Kingdom, United States and France. Faculty and student exchanges often played important roles in these relationships, as did a variety of shared research frameworks.

North–South university partnerships are also far from new. Norma Walmsley (1970, pp. 24 and 76) reports, for example, that the School of Community and Regional Planning, University of British Columbia, has been assisting the faculty of architecture, University of Science and Technology in Kumasi, Ghana, since 1953, and McGill University had established a Centre for Developing-Area Studies in 1963. Building on colonial origins, the British Council long played a respected role in facilitating links between richer and poorer Commonwealth members. Cornell University has made a substantial contribution, over many decades, to the evolution of the University of the Philippines. The Universities of Moscow and Leningrad have had numerous links with African, Cuban and Southeast Asian counterparts.

What has been relatively new has been the escalation of international development oriented partnerships — between universities — both in number and scale, as well as in the variety of themes. Major factors behind this, of course, have included revolutions in transport and communication technologies; ideological competition and then transitional relationships between East and West; a growing recognition of the value of human

resource development; the increasing volume of bilateral and multilateral development aid during the 1970s and 80s; and the most recent growth in private-sector relationships, particularly in Southeast Asia, parts of Latin America and Eastern Europe.

More and more universities have moved from being somewhat passive to increasingly aggressive partners in this general process, in no small part because of the partial collapse of traditional funding sources. The extent to which universities, whether in Northern or Southern regions, have seen themselves as agents of international development appears to have varied considerably. Most probably have not. This has led to misunderstandings and uncomfortable relations with some government aid agencies.

Historically, a number of universities in Canada began as liberal arts colleges to provide undergraduate education to students of the area; as agricultural or rural oriented institutions with professional programs and applied scientific research as an important dimension; as institutions with a focus on professional schools such as law and medicine; or as graduate oriented, often urban based research bodies. Over time, many of these universities became increasingly complex in their range of activities and also began to attract students from further afield. Yet the majority of Canadian universities still draw the bulk of their students from the immediate region, even though they may have built international reputations. Dalhousie University, for example, derives some 80% of its 11 000 students from Atlantic Canada, 10% from Ontario, some 5% from other regions of Canada and less than 5% from overseas. Yet that proportionately small overseas group comes from some 90 nations.

The extent to which Southern universities can (or should) pursue priorities similar to those of their Northern partners will depend on the economic and political circumstances of their settings. The degree to which Northern or Southern universities see themselves as development leaders will also vary considerably from area to area, and over time. The term "partners in development" can have substantially different meanings from university to university, both within the same country and, even more so, between nations.

International partnerships: principles and process

Given the complexities of international cooperation and interpretations of development, it would be useful for universities to agree on and formalize common sets of conventions or codes of conduct as a guide for their international behaviour. A beginning has already been made in the area of sustainable development (see Appendix 1), and the University of British Columbia has drawn up useful "laws of linkages" (Appendix 2). The Association of Universities and Colleges of Canada (AUCC) and the British Council (1993, p. 8) included these in their copublication, *Guide to Establishing International Linkages*. Appendix 3 contains similar guidelines, reproduced to illustrate the progressive way a Canadian university viewed its role some 20 years ago (see also Guelph 1991). Lessons can also be drawn from the criteria suggested by the Canadian Association of University Teachers (CAUT) as well as from nongovernmental federations. For example, the

principles that have long guided the International Red Cross provide a further reference (see Appendix 4) that has served to remind Red Cross national societies of the different cultural and economic settings within which each must undertake its mission.

Do our actions correspond with our words, whether we be co-operating universities, or facilitating donor? Or are we really bent on furthering our own institutional and national development interests and pretending it is enlightened generous altruism? Are we helping them on our their terms or ours?... I wonder... whether all values of internationalism are giving way to calculations of national commercial or foreign policy advantage.

— Dr A. Christodoulou, secretary-general of the Association of Commonwealth Universities

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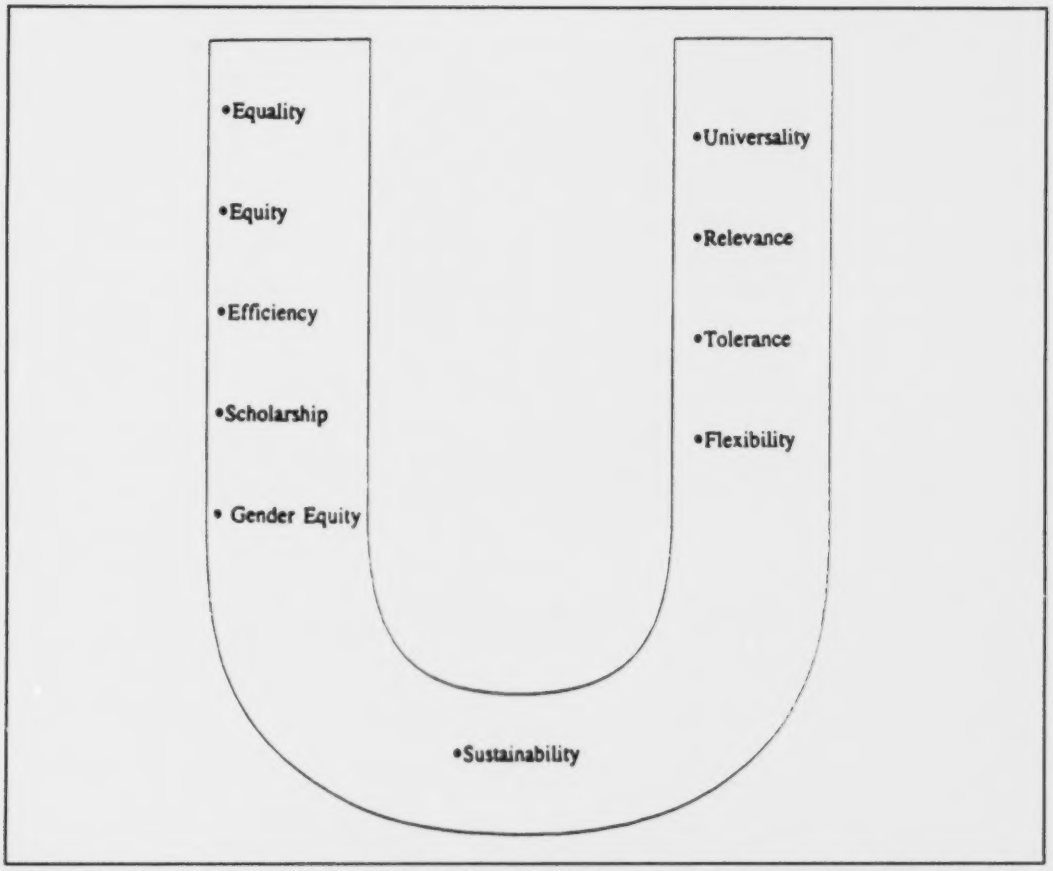

Figure 1 Ten principles as a basis for international cooperation by universities.

The above list is meant to encourage this process (Figure 1). It contains 10 general principles on which university agreements for international cooperation might be built. Each item warrants elaboration; for example, "equality" includes equal rights and freedoms, "scholarship" includes the sharing and also the advancement of learning,

"sustainability" includes sensitivity to the environment and also intergenerational responsibilities, "tolerance" includes respect for the values of others, including indigenous patterns of knowledge, and so on. In planning and evaluating their specific activities, universities might wish to customize these principles to their particular needs.

In a recent study of some 20 years of international development activities at Dalhousie University (McAllister 1994), a progression was detected and summarized in matrix form (Table 1). Three main stages were suggested. The first is individualistic and somewhat ad hoc; the second is focused around the life and activities of a development project; the third is more wide-ranging and programmatic in form.

Table 1 International development partnerships — Northern perspective

	First generation	Second generation	Third generation
Defining features	Faculty linkage (often informal and individualistic)	Departmental contract (formal)	Network linkage agreement (formal but also flexible)
Problem definition	Shortage of a particular skill, need for 'technical' data or external review	Several problems require a concerted commitment; single disciplinary mindsets limit project	Institutional and policy constraints; problems of sustainable development
Time frame	Annual	Project life	Indefinite long term
Spatial scope	Individual university department(s)	University or one/several government/business department(s)/local community	National or regional
Chief actors	Individual faculty members; individual students	Single departments/centres in both countries' universities/governments/ corporations/NGOs	Consortia of universities and public/NGO institutions; occasionally private sector
Teaching	Isolated conferences; single course; graduate student(s)	Routine courses and occasional workshops, often not linked to academic programs	Degree programs and regular workshops/conferences/ training of trainees
Research	Individual faculty, graduate student or government department interests	Project research agenda	Complex of flexible, interconnecting research activities
Community service	Isolated support activities, normally disconnected	Project service to particular institution	A network of capacity-building activities
Management orientation	Very basic logistics management	Project management	Strategic/program management

Source: McAllister 1994, p. xxi.

A "counterpart matrix" has now also been sketched to complement these perceptions of a

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Northern university with some that might be pertinent to a Southern partner (Table 2). It retains the three-stage framework, but the time frames are not uniform and considerations of dependency, appropriate technology and culture, foreign exchange, indigenous knowledge and political priorities assume a more central place.

The next three parts of this book present an argument that each of these stages offers opportunities for a wide range of benefits, without necessarily incurring significant additional costs. At the same time, the risks of inappropriate designs and priorities will be examined and ways to reduce them explored. The proposed 10 principles for university behaviour (Figure 1) can provide convenient cross-references for each of the three stages as one way of integrating ethical and strategic dimensions.

Table 2 International development partnerships — Southern perspective

	First generation	Second generation	Third generation
Defining features	Students study overseas; foreign faculty visit for conferences, sabbaticals, ad hoc activities	Departmental contract (formal), usually in response to a foreign aid opportunity	Network linkage agreement (formal but also flexible)
Objectives	Individual capacity building; ad hoc gap filling	To strengthen department, provide faculty/student opportunities and (especially) acquire materials and support (e.g., cars, computers, buildings etc.)	Institution and policy building
Time frame	Short-term, i.e., 1–24 months	3 years or more (as much as negotiable)	Open-ended
Costs	Foreign exchange, unless overseas students and faculty are externally funded, can lose sight of local priorities and become Westernized	Some departments can become distorted (e.g., larger) than appropriate to university priorities; local costs may not seem large to foreigners but can be difficult to finance/provide equitably	Uncertainties can occur in between projects and the local costs may prove increasingly difficult to raise to match foreign exchange dimensions
Risks	Students/faculty members may not return or may acquire a taste for "inappropriate" approaches or technologies	Government interference; dependency on outside institutions/funds; expectations raised then unsustainable; indigenous knowledge can be undervalued	Lack of sustainability and politicization; dependency can be traded-off against longer-term aspirations

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	First generation	Second generation	Third generation
Benefits	The acquisition of outside skills and comparative perspectives; possible access to foreign funding for larger projects; international contacts	Access to foreign exchange for purchase of materials/technical equipment etc.; international recognition and some local "clout"; some technical help	Access to external ideas, sponsors and institutional level capacity building; international recognition and hence some local clout.
Teaching	Isolated conferences; single course; student acquires diploma	New programs can be launched and gaps filled when necessary	Formal and informal teaching opportunities of a wider variety; international exposure
Research	Individual research outputs may not be communicated back in home institution, but might fill important gaps	Project research agenda, but care must be taken that it is relevant to local priorities and not simply an "outsider-driven" project; can raise political problems	Access to foreign research approaches and institutions; access to foreign exchange
Community service	Isolated support activities can lead to heightened expectations and then disappointment because of failure to follow through, but might play a catalytic role	Project services to a particular institution can open up new opportunities as well as unsustainable demands	Network-wide opportunities for linkages and useful international partnerships
Management orientation	Generally responsive to outside initiatives; logistics orientation	What is a "project" to the outside partner is often another responsibility for existing local management, hence viewed as logistic management	Strategic management needed, but may not be available and, instead, a project management style may prevail

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PART 2: First-Generation Activities: Individual Links

Linkages are a means to an end and not an end in themselves.
— Laws of Linkages, University of British Columbia

Advantages and limits

The most basic of international links is at the level of the individual — the connection may be through a single student or a faculty member. In the Canadian context, it may consist of an overseas student coming to a Canadian university to study for a relatively short period, informally or for a degree; it may be a Canadian faculty member's sabbatical leave, organized around some overseas' teaching or research activity; or it may involve some form of professional service, for example a visiting surgeon (on a university's faculty) taking a short leave-of-absence to help in an overseas' teaching hospital.

> *It is very important to support young researchers, and to encourage closer relationships between them and researchers in Third World countries. For example, if you send a young Canadian researcher to Indonesia, to work in, say an environmental study centre, where there are senior researchers but also young researchers, this is going to establish an on-going long-term relationship between young researchers in Canada and young researchers in Indonesia. Establishing such close personal linkages will guarantee a continuity of relationship between the two nations' institutions because the junior researchers of today are going to be senior researchers and decision-makers in the future. This is what I call a "youth-to-youth relationship."*
> -- Dr Koesnadi Hardjasoemantri, secretary, Ministry of State for Population and the Environment, Indonesia

The Canadian university's management requirements for such activities are usually minimal, although for the individual they may be complicated enough, with visa and financial arrangements, housing, health insurance, family and other logistic hurdles to cross. The overseas (Southern) university's requirements, on the other hand, might be less straightforward, particularly if housing and transportation (both usually in short supply and much sought after by local faculty and staff) are to be provided. Local work permits can also be complicated to arrange.

Many such relationships have proved to be of lasting value to many people. Anecdotal evidence also suggests that there can be numerous multiplier effects from such activities — through the transfer of ideas and technical skills, through the growth of mutual respect and understanding between peoples of different cultures, through the acquisition of language skills and through the provision of relevant professional advice.

Such contacts have often extended into a pattern of similar activities. Other students have followed the path of the first one. The faculty member may have developed a life-long interest in, and commitment to, the institution or country and returned periodically for future sabbaticals, brief study periods, conferences or even, ultimately, to live and work there. Perhaps a colleague followed.

For me, Canada is still very much a home away from home. There are many good memories and I always look back with warm feeling on my years in Halifax. The winters, of course, are something I shall never forget.

— H.E. Ir. Tungky Ariwibowo, Indonesian minister of industry, graduate of the Technical University of Nova Scotia

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One of the most successful and enduring exponents of such linkages has been the British Council (1994). A key part of that organization's philosophy has been to promote British culture and interests overseas. Its aid dimension was viewed in terms of "sharing British expertise." Much of Canadian assistance has pursued a somewhat similar trend, arguably with fewer ideological overtones and, certainly, with less supporting infrastructure. As in many countries, student exchange arrangements have also sometimes been Canadian university driven and supported, without direct government support.

On a modest scale, a number of Canadian students have been able to go to (Southern) institutions to learn from them, and overseas (Third World) faculty have been able to come to Canadian institutions for the mutual benefit of many. CIDA and IDRC have both contributed to such arrangements, even though their main approach appears to have favoured the more traditional lines of "let us teach/help you."

Individual activities (underlying philosophies apart) can be expected to remain the least complicated to arrange and, at the same time, to continue to be the least expensive and most plentiful of university links overseas. Hence, it is worth exploring how more benefits both to North and South might be generated from such connections, without inhibiting the individuals.

I would suggest the need for orientation courses for Canadian researchers going to Third World countries. This is very important because cultures are quite different. To take an example, if you go to Central Java, you will find that "yes" can have eight connotations, from a full "yes" to a full "no." So you have to be very patient as you talk to someone, even though he is an intellectual, and after a half hour or so you may reach the conclusion that he doesn't want to do something, even though he said "yes" in the beginning. "Yes, I have heard you" is not necessarily "Yes, I am agreeing with you." That is why Canadian researchers, young or old, going to Third World countries, will need to be prepared for the culture of the host country....

There is a need for "after care" for Third World researchers who have been trained in the developed countries. This after care is very important because it shows that you have not forgotten them. You should continue to help them keep up with the latest developments in their field of research.... We have had workshop discussions relating to problems of students coming to wholly different communities, and starting classes right away in September, with no adjustment period at all. They are expected to keep up with the Canadian students. I would suggest that they be given three to four preliminary months to adjust themselves. Not only is the academic life different, the social life is also very different. Let me underscore this; if you start out frustrated, you will not end up with good results.

— Dr Koesnadi Hardjasoemantri, secretary, Ministry of State for Population and the Environment, Indonesia

The following four examples illustrate the kinds of points that could usefully be developed into checklists for planning purposes and elaborated upon in planning briefs and background discussion papers. The main lesson from such first-generation activities is that, with a little imagination and encouragement, extra benefits can often be gained at quite modest costs.

Extending the impact of first-generation activities: four cases

Students and their skills, culture and connections

When foreign students spend time in a university or associated institution (be they foreigners in Canada, or Canadians abroad), they represent a teaching resource for the *host* university and community. They may indeed be in the earlier stages of their academic or professional education, yet often they will also be experts on aspects of the culture and history of their country. They may well be able to speak at local schools, serve as interpreters at conferences or in hospitals, advise local NGOs on effective partnership links or work with business groups that may be seeking overseas' markets for trade. Moreover, many students have great musical, artistic, literary, culinary and other skills, without necessarily recognizing how interesting these may be outside their home country or being given the chance to share them. Involvement in such noncurricula activities may well make the stay in Canada far more rewarding for the overseas students, giving them a greater sense of self-confidence and recognition of the value of their knowledge and skills.

With the help of foreign students, particular class groups in universities or schools can be twinned with an overseas country or region; similar procedures are possible for business offices, shops and NGO rooms (for example, the Jamaican room, the Indonesian room, and so on). Everything from pictures and artifacts to books, tourist brochures, music or traded goods can be displayed, shared and — as appropriate — marketed. When such extra ideas are grafted onto a student's program (Canadian or overseas), they can open up new horizons for the student, for the student's family and for the host community. During their stay, overseas students can become a new *Canadian* resource.

When we need consultants and trade, it's inevitable we'll look to Canada, having lived and studied in your country.

— Honourable D. Mutumbuka, minister of education, Zimbabwe

Once home, difficulties in gaining access to foreign exchange can severely limit ongoing access to journals and other materials students may require to remain up-to-date professionally. Grants to facilitate some "life-line" linkages warrant support as part of scholarship programs. It must be remembered that foreign students can readily become ambassadors for both nations. However, such benefits require planning and imagination. They will not just happen.

Student research

Student research (whether for theses or extended term papers) can be much undervalued. Of course, examples of well-linked student research are to be found, but so are numerous cases of ad hoc and ill-chosen research topics, as well as casual approaches to research ethics. No discipline is immune. There is scope for further integration of research papers both with the needs of the countries from which the students come, and to Canadian interests.

Moreover, when Canadian students go overseas, they frequently select theses on a "shopping list" basis rather than as part of any broader research agenda. The overseas country can readily be viewed as a "mine" of information, rather than a partner region for sustainable investment. CIDA and the IDRC could make a significant contribution through modest incentive programs, designed to link student work more closely to the perceived development needs of partner countries. (IDRC is already publishing some thesis titles — especially useful for Internet surfers.) Given the effort so many students put into the writing of term papers and theses, it is tragic that so much of their work is often viewed solely as an input for a mark or (more broadly) for the development of a technique, rather than also as an output — a potential contribution in its own right. Many useful papers and theses never get back to the student's home country, even though the subject matter may be drawn from that nation's experiences and be of direct relevance.

Linking overseas experience to teaching

The value of the overseas experience of some faculty members seems rarely to be lost on students *when it is shared*. Many have been fortunate to have been taught by an instructor who has practised as well as "preached." However, many overseas experiences do not fit readily into single disciplinary frameworks or classes, which are taught in highly structured, semester-long sections. Routine seminars, conferences, modular teaching units, case study presentations and the like are one way of drawing on such a resource and further enriching the educational experience of the student body.

Another approach is to develop classes around geographic areas — for example, courses on southeast Asian history and culture — and to draw on faculty or student input to particular sessions. For this to become a widespread routine, universities may have to give greater support to such experimentation. Interdisciplinary programming, which is much applauded in presidential addresses, remains substantially ignored by many traditional departments and faculties in both Northern and Southern universities.

Building on individuals

Across the globe, there are examples of government policies, schools, hospitals, NGOs and universities that have been touched by the commitment of a single faculty member or student who visited the nation, recognized a need, then did something about it. Many books have been written this way — from works on flora and fauna to basic anthropologic texts, from economic reviews to medical manuals. Frequently these individuals are relatively unrecognized within their own institutions and may care little; they often tend to be free spirits. But their individualism can be of great benefit to the institution if harnessed imaginatively. It is probable that greater effort by the university, both to recognize such work and to tap into it, could lead to substantial value — added both to Canadian and host country institutions.

> *Professor and student exchanges have a definite scientific and technological contribution to make in assessing the various ways universities are managed. They will have an impact not only on the individuals involved, but also their institutions. It is also encouraging to note the progress electronic networks have made in distance education as a means of fostering integration and mutual support and giving expression to the idea of economic and social globalization.*
>
> — Luis Garita Bonilla, rector of the Universidad de Costa Rica

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As universities become further bureaucratized and as somewhat impersonal information systems become more widespread, there is a danger that the value of individual endeavours (i.e., first-generation activities) can be downplayed. Yet these are the foundations on which much international cooperation has been built and on which future connections will continue to be dependent. More complex approaches to aid cooperation need not be inherently better.

> *To us the university must be the index of national development; nothing less will do. The trust we have in the university, as is evidenced by our unstinted support for the expansion of infrastructure, must be matched by an increasing sense of civic responsibility on the part of the university itself. In this respect, we, the nation, expect the university to blossom as a centre of research, as a fund of knowledge, as a fountain of expertise, and as a teaching institution for preparing successive generations of young men and women to take over burdens of responsibility. To be sure, as a nation we are proud of our university. But we expect greater involvement in national development by the university. We want to see the fruits of your labour, your graduates, your research - not in isolation, but as part of national development.*
>
> — Honorable Cde Dr. D. B. Mutumbuka, minister of education, Zimbabwe

> *Our concept of a university is that of an institution that is conscious of the problems and development objectives of the nation and is fully integrated into the society. It is within this framework that we can discuss the role of the university in analyzing and evaluating the political, economic and social development of the country in which it is situated. The function of analyzing entails diagnosis of the disease, exposing the problem. That of evaluating necessarily involves passing judgement on governments. In a sense these are polite terms used to refer to the function of criticizing governments and the community for what goes wrong, of identifying errors, weaknesses and instances of mismanagement and incompetence and seeking to correct them and seeking solutions.*
>
> — Dr Walter Kamba, vice-chancellor, University of Zimbabwe

PART 3: Second-Generation Activities: International Projects and Their Cycles

The project is a beautiful bridge to open up valuable cross-cultural academic communication. The bottom line is that one must love one's country and come with a clear agenda to maximize the use of resources and to attain the goal.

— Professor Wu Kangning, former visiting scholar from Nanjing Normal University on Canada–China linkage

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Defining a project

A project is defined here as a group of activities that are intended to accomplish some clear goals, over a specified time period, drawing on a set of agreed upon human, financial and other resources.

Many of the international activities undertaken by universities are today called "development" projects. Credit must be given to the World Bank, especially, for promoting this concept and for injecting disciplined steps into the project management process. Albert Hirschman (1967) and Warren Baum (1970), among others, have refined many of the ideas that are now widely influential (see also Maggie Black 1992, pg 177-202). Further impetus for this approach has come from numerous bilateral aid agencies (including CIDA). Particularly in the 1970s and 1980s, the development project was viewed as the core building block for aid programming.

The development project is a conceptually useful bridge between the first generation of activities (characterized by short-term, somewhat ad hoc individualism) and third-generation frameworks (characterized by broader policy and programming networks), as outlined in Tables 1 and 2. The transition from individual efforts to development projects is rarely an easy process. To quote the Canadian auditor general (1993, p. 318.) again, "The nature of the risk associated with human resource development [projects] calls for a much greater understanding of the cultural, political and social implications involved."

Some degree of corporate responsibility is implied by the concept of a good university project. Now, the success of the project is not only an individual's responsibility, but minimally that of a department, centre or school within the university. The agreement to a project framework implies a greater degree of institutional formality than in the case of a

first-generation activity. As indicated in Tables 1 and 2, however, perceptions about both the core elements and framework definitions of development projects can vary considerably between Northern and Southern partners, even after agreements have been signed.

One essential dimension of a project agreement must be that, if the initiating person becomes unavailable, the project will not grind to a standstill. Some form of contractual arrangement will have been drawn up, and a clear sense of corporate responsibility assigned for specified results. "Responsibility" is used deliberately — not "ownership." Ownership has often been noted in university-run projects: ownership by individuals or small groups for their own, sometimes self-indulgent, purposes, not necessarily consistent with the broader goals of the project. Many university projects have experienced great problems in addressing interdisciplinary dimensions, because particular departments have wanted to hold on to them (McAllister 1994, pp. 379–403) and confined the range of inputs to those dominated by a single discipline.

Universities have found (as indeed have many businesses, governments and NGOs) that genuine development projects have a way of forging ahead of institutional policies. When such policies are ill-defined, the development project becomes a priority-setting catalyst. As such, it can readily be perceived as a threat to traditional ways of doing things and strain the structures and approaches of established units. Unless the institutional environment of the university, or at least of a key centre or faculty, is responsive to the requirements of development projects, they can end up "out on a limb" and prove unsustainable.

The coming together of different peoples from different national backgrounds, sharing their knowledge and experience, is worthy of every support.

— Alhaji A. Badjie, Gambian minister of education

In the Canadian context, overseas development projects often require experienced faculty members to be on site at times that do not easily fit into the teaching schedules of the Canadian university. If satisfactory arrangements cannot be made, the requirements and eventual survival of the overseas project may be at risk.

Especially when funded through contracts with foreign aid agencies, development projects can fairly readily be viewed by the Northern university as discreet and relatively self-contained activities. As already noted, from the vantage point of the Southern partner — at the receiving end of the aid package — this framework may be far less clear. Frequently, operating funds, personnel and other resources (including housing) will have to be diverted from existing budgets and functions to match criteria imposed by the overseas funding agency. Thus, the activities deemed to comprise a distinct development project by the donor may not be viewed in that way by the recipient university. Rather, they may be seen as periodic infusions of support into a series of existing endeavours or,

of greater concern, somewhat undesirable impositions that are the price of access to foreign exchange, automobiles or greater political influence in the domestic scene.

Those caveats in place, there can be many advantages (for both Northern and Southern institutions) in the concept of a development project — both in terms of disciplined planning and management processes and in terms of the extension and regularization of the kinds of benefits that can rarely be sustained through individual and ad hoc (first-generation) endeavours. Development projects can indeed be the catalysts that encourage

Development projects can indeed be the catalysts that encourage a university to take stock of its own institutional maturity, as it contrasts its approaches with those of its partner organization.
Photo: Dilip Mehta, CIDA; an ox cart used for a generator, Bangladesh.

a university to take stock of its own institutional maturity, as it contrasts its approaches with those of its partner organization (in the North or South).

A spider diagram is one useful device for such stock-taking (see Figure 2). Whereas a Northern university may rank fairly high in research mix and depth, as well as financial management and performance accounting, the Southern partner may demonstrate strength in local community service attitudes and linkages, for example, as well as logistics management. Obviously, the components can be adjusted and substantially refined. This kind of framework can become an initial analytical tool for self-assessment.

TEACHING DEPTH AND INITIATIVES
LOGISTICS MANAGEMENT
RESEARCH MIX AND DEPTH / THEORETICAL AND APPLIED
PROJECT MANAGEMENT AND PERFORMANCE EVALUATION
3
2
1
LOCAL COMMUNITY SERVICE ATTITUDES AND LINKAGES
STRATEGIC MANAGEMENT AND INSTITUTIONAL MEMORY CAPACITIES
INTERNATIONAL EXPERIENCE AND RECOGNITION
FINANCIAL MANAGEMENT / PERFORMANCE ACCOUNTING
1 = situation: much room for improvement
2 = good situation: some room for improvement
3 = ideal situation: little room for improvement

Figure 2 Spider diagram of university capacities. *(The idea for this diagram came from Save the Children 1995, p. 235)*

It may also be helpful to view development projects in terms of a cycle — there is a beginning, a conclusion and a number of distinct phases in between (Figure 3). A connecting arrow has been drawn in the centre of Figure 3 to alert the reader to the progressive character of the phases of a project and also the merits of viewing it holistically. During the identification and preparation stages of the project, for example, other aspects (its eventual impact, how it will be assessed by a funding agency, the most appropriate way to manage it, and so on) should be borne in mind. Equally important, it will be crucial for the managers, when they assume operational responsibility, to understand the initial purposes, history and flavour of the project, or it could end up a sterile shadow of the original concept and fail to generate key benefits essential for longer-term success.

A normal, international project cycle for a university seems to be in the order of three to seven years; after that, questions of sustainability become increasingly marked (see next part on the third generation). In the case of state corporation and private-sector projects, the projects' life spans are frequently much longer, reflecting their substantially larger scale and capital intensity, for example hydro-power plants or hotels.

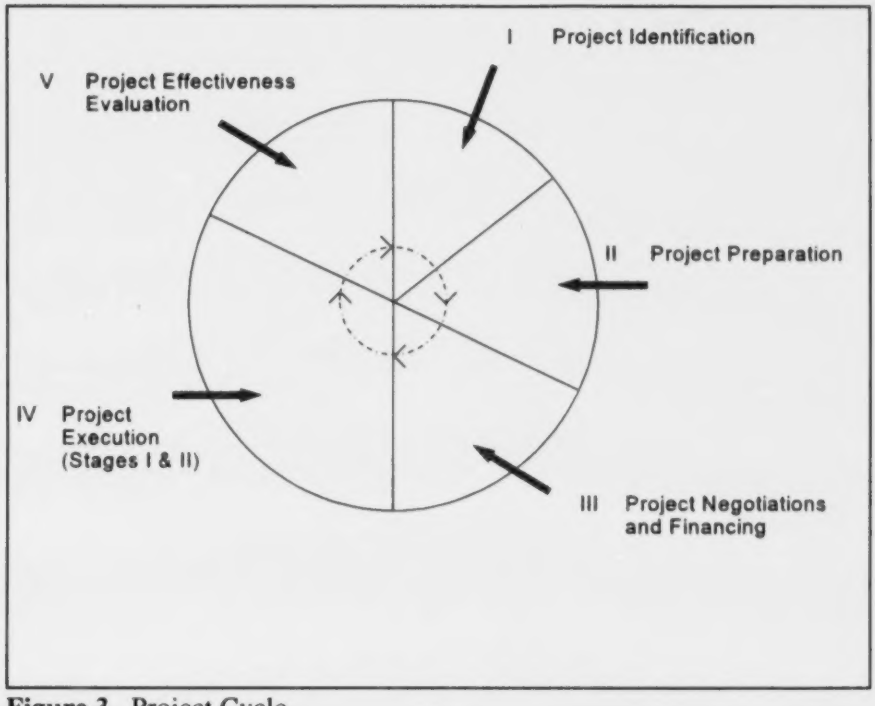
I Project Identification
II Project Preparation
III Project Negotiations and Financing
IV Project Execution (Stages I & II)
V Project Effectiveness Evaluation

Figure 3 Project Cycle

It is a premise of this discussion that a university project will have some characteristics or dimensions that are distinctive to a university, although there may be many other features that are common to government, private-sector or NGO projects. This becomes important when the concept of efficiency is introduced. To what extent is "efficiency" to be measured by a university in the same way as by a corporation? To what extent differently? To what extent, for an example, should each unit of a university be assessed as an individual cost centre, charged with at least matching costs with revenues? To what extent, if that is not to be done, should each unit be assessed in terms of contributions to a discipline or society and what criteria are to be used? What are the elements of a good university project?

As an African, I would like to emphasize that before Canadian universities' role in international development can be effective, they have to be sure of their own role within Canadian society.

— Gloria Nikoi, former minister of foreign affairs, Ghana, and sometime senior fellow of the Pearson Institute, Dalhousie University

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It may be helpful to illustrate some extreme distinctions to develop approaches for some of the less readily defined judgements. Universities are not in the business of managing

steel plants, hydro-power projects or military establishments. Nor are universities to be numbered among the major international disaster relief agencies, peacekeeping forces or ocean transport companies. However, their activities can, and often do, spawn or contribute to many such activities through training, research, consulting and, on occasions, hinged community services. It may be easy to indicate what a university project is *not*, at the extremes, but it is not so easy to delineate the boundaries of what it is.

Oxfam, for example, was initially set up by a small group at Oxford (including Gilbert Murray, a professor of Greek) concerned with the plight of refugees in the Second World War and the principle of humanitarian neutrality. Their committee swiftly took on a life of its own and evolved into the exceedingly professional NGO that Oxfam now is. Oxfam's links with Oxford University have become tenuous. Oxfam is very much its own organization, but at what stage might such organizations best become separate entities?

As a quite different example, universities are not in the business of running hotels, unless they are teaching hotel management. But, at certain times of the year, many universities do rent out facilities for conferences, provide student rooms during peak tourist periods, maintain small guest houses and so on. Determining precise lines of demarcation is unimportant in terms of *general* definitions, but specific guidelines are necessary for *particular* project policies of any university.

The value of a general set of principles for international activities (as in Figure 1) is that they can enable particular universities to arrive at their own specific guidelines in a searching and consistent way — to make comparisons and so learn from others and, thereby, to be clearer to governments and partner organizations about what they represent. For example, if teaching, research or associated community development are not to be found in a university's international endeavours, then it may reasonably be questioned whether the university should be embarking on international projects. Moreover, a university's particular contribution may be set in a context of commitment to longer-term change (hence the teaching may serve to increase productivity or promote human rights), of a holistic view of society and problem-solving (hence influencing approaches to research), of independence from political pressures (hence determining the nature of the community services to be embarked upon).

Project identification

Every university project has a history. Its origins must be appreciated, including the background (engineering or social sciences, rural or urban) and purposes of the project's original architects.

> *If universities evolve mechanisms for assessing needs locally and developing local resources in accordance with local desires and objectives; if account is taken of the cultural milieu; if indigenous personnel are involved at every stage of the design and implementation of programs, then programs will have relevance and will endure. They will not fold up as soon as the foreign expert leaves. In short, there needs to be a certain responsiveness to the views, the local conditions and the participation of the other side of international development — namely the Third World — without which there can be no international development.*
>
> — Gloria Nikoi, former minister of foreign affairs, Ghana, and sometimes senior fellow of the Pearson Institute, Dalhousie University

Some projects can be seen as reactionary. They are responses to a recognized "need." A shortage of faculty members for a teaching program in Zimbabwe might fit that category; the project might consist of a Canadian university developing a training contract (funded by the World Bank) to lend faculty members for a certain period and also to provide local staff with opportunities to gain further education. The extension of a research building, supporting research faculty and the purchase of equipment for a university in the Philippines, drawing on an IDRC grant, is another example. The assumption is that the need is clear and a gap is being filled.

Other projects can be seen as trail blazing. They may represent innovative directions: for example, an aquaculture research and development project for a region of Indonesia that had previously relied on traditional fishing; or the establishment of new centres to train human rights lawyers in Haiti or environmental health scientists in parts of Eastern Europe. Obviously the lines of demarcation between reactionary and trail-blazing projects can become blurred, but the distinction is useful — particularly when one considers project implications and sustainability. When new directions are to be taken, pilot projects can be initial steps toward larger-scale commitments.

All projects have implications. They draw on resources (human, land, capital) and generate benefits (a capacity to be more flexible, new training, new buildings, healthier citizens, an improved environment, new revenue streams for a business). As stones cast into a pond, projects form ripples — in terms of both costs and benefits. These ripples can impinge on the viability of other projects, on people's culture and approaches to problem-solving, on institutional fabrics. Some projects are far less complicated for a society or institution to digest or implement. That does not necessarily make them "better" or "worse," but their impact must be anticipated in the early design and selection process.

Projects have entry points into an institution, situation and community. Trail blazing ones, in particular, may require some digesting before the partner institution or community is fully comfortable. The initial digestion period may take several years and it is critical to recognize that this process may be a prerequisite for sustainable projects. Figure 6 on page 45 suggests a possible pattern.

> *Let me point out the differences between you and us in the Third World. I will be specific about my country, India — a country that is the largest exporter of doctors and nurses the world over. We have supplied over 26 000 doctors and an unaccounted number of nurses ever since independence. We surely need their services much more than the Western world but we never have been able to keep them back ourselves. The financial advantages of working abroad are so lucrative that almost anyone will try to get out of the country. Their presence in this part of the world* (North America) *and the concentration and even unemployment of doctors in your cities speaks volumes of the essentially urban orientation of medical education which relies heavily on curative methods and sophisticated diagnostic aids.*
>
> — George Joseph (India), Coady International Institute, St Francis Xavier University, Antigonish

Analysis of comparable projects can reveal ways to speed up this digestion period — perhaps from four to two years. It is precisely for such reasons that the development of institutional memory systems and linked training courses can be so important. For example, among the lessons learned from a project in Indonesia for training public servants are the importance of a broad participatory process during the early planning stages, the advantages of early workshops to discuss the project concept, the value of newsletters and the need to ensure that genuine benefits are clearly recognized and publicized.

In the identification of all university projects, six initial questions can be included on any critical list.

- Why is this project being identified?
- Who is doing the identification? People from afar, local people, people drawing on several disciplinary outlooks, experienced people, women, men or a blend of the sexes, young, old, rich, poor? In what ways are those who are supposed to be the beneficiaries participating in the identification purpose?
- Who is the long-term stakeholder? Who is supposed to benefit from this project and precisely how? Who is going to lie awake at night worrying about how to make it more effective?
- Who is going to pay the project costs immediately and also over the longer term? These costs may not just be financial; the project could have a major impact on traditional lifestyles, other employment opportunities and so on. The impact on the sexes could be radically different. Many cases are now documented of large-scale industrial projects resulting in some men being better off, but many women being far worse off as an outcome.
- How sustainable is the project and how sensitive is it to environmental considerations?

- If the project is not embarked on, what would happen? Figure 4, used by the Finnish International Development Agency (Finnida), depicts the concept of a project's overall impact. Quite often, of course, the impact of a university project may be far from readily disentangled from the effects of other projects and, indeed, policies. Figure 5, used by Save the Children Fund, suggests a framework for separating some of these elements. The fact that there are indeed likely to be a number of causes behind change does not negate the importance of trying to be clear about a project's influence — if only as a reminder that some humility is usually in order.

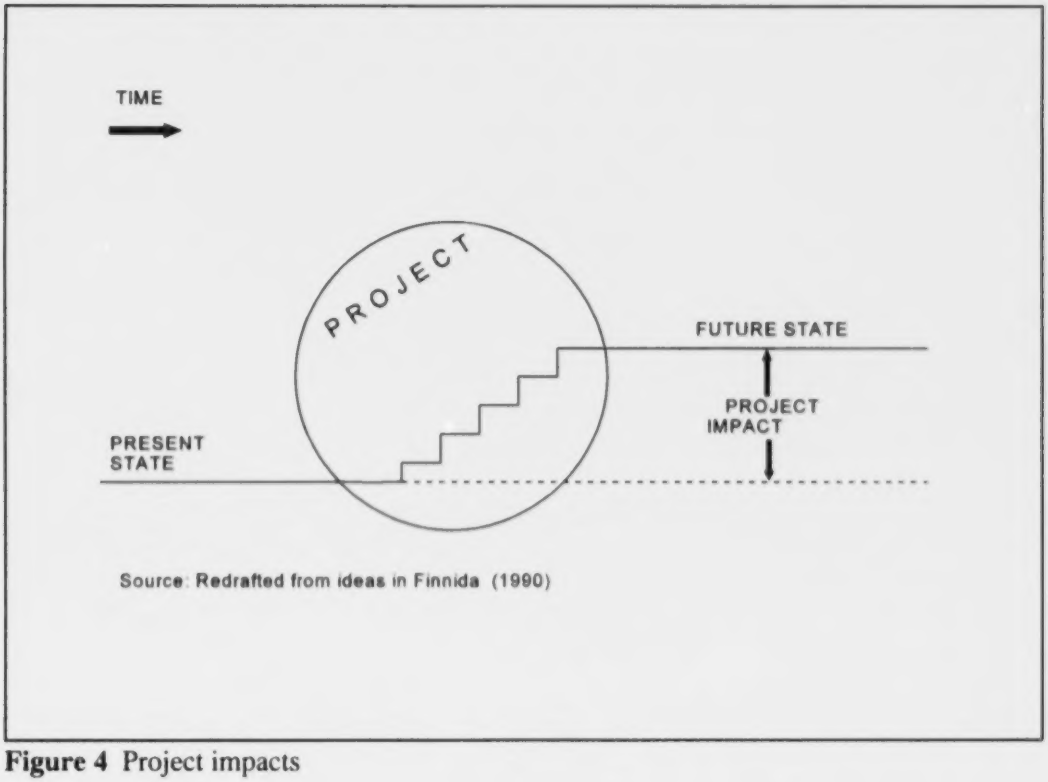

Figure 4 Project impacts

When we designed CERMES we wanted to attract students who were already employed in key administrative positions. The political hierarchy supported us by granting a leave of absence to interested staff who could benefit from the course. This first wave of graduates has now returned to the system. As a result we are noticing a greater exchange of ideas. These are small indicators of change; more will be forthcoming as we increase the critical mass of graduates. We hope, in time, to be capable of preventing irreparable harm to our delicate resources.

— Dr Euna Moore, director of the Centre for Resource Management and Environmental Studies, University of the West Indies

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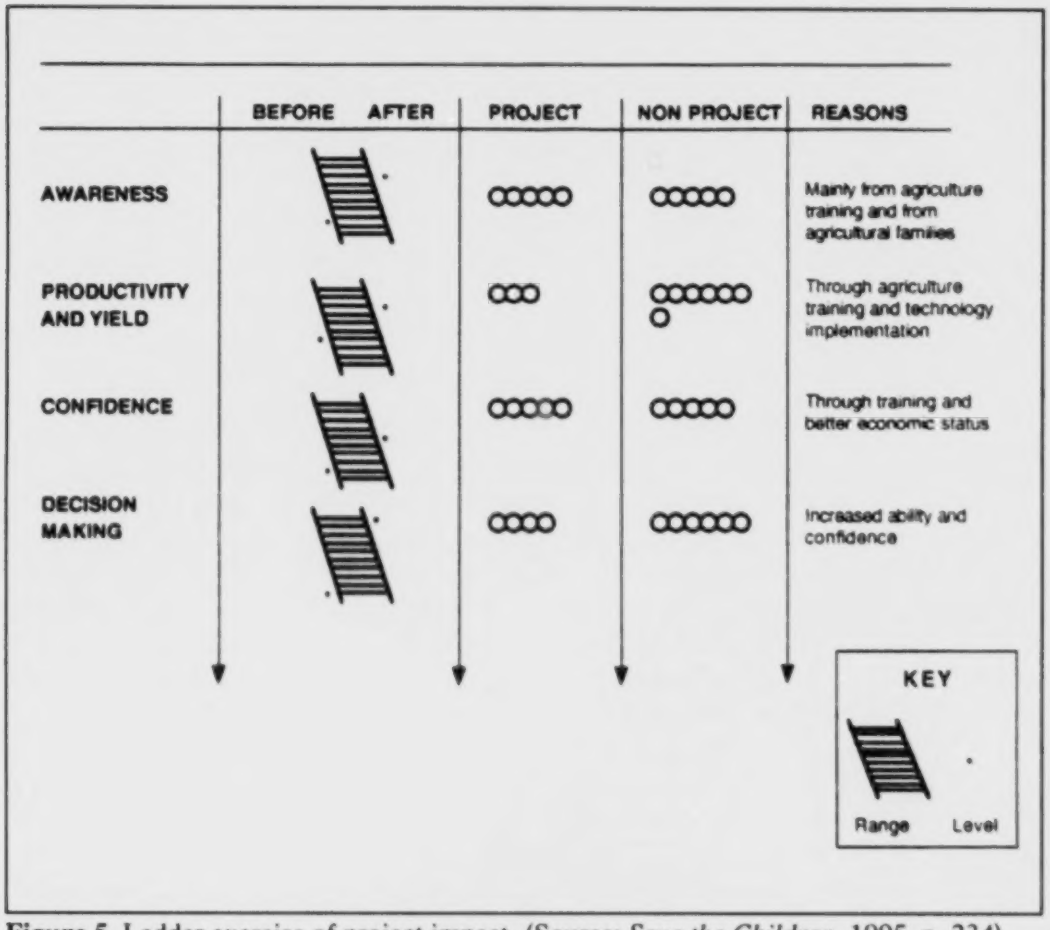

Figure 5 Ladder exercise of project impact. (Source: *Save the Children*, 1995, p. 234)

In a review of some 100 successful US corporations, David Ewing (1968) noted a tendency to emphasize one or other of just two starting positions. These have also been useful concepts for identifying university projects overseas:

- an outward–inward process, in which the initial approach was to identify global, then more local, market opportunities, regardless of current production capacities

- an inward–outward process, in which the starting approach was to examine the existing strengths and weaknesses of a corporation, then decide where its comparative advantages might lie.

It has been suggested that university projects should demonstrate some distinct university characteristics. This idea can be explored at each phase of the project cycle. For example, at the project identification phase, the following questions warrant discussion:

- What possible benefits to current or future students (both in Canada and overseas)

might this project contain? How can it be designed to maximize such benefits?

- What research and learning opportunities can be associated with this project? (These could be in the form of student theses, faculty research links, the training of researchers and/or the distribution of research findings.) As for all examples, the question must be asked both in the Northern context and in the context of the partner institution(s).

- What community service benefits can evolve from this project, whether in home or overseas communities?

In all the above, the follow-up question must be raised: How can such possibilities be grafted onto the project design?

If there is already a program framework (for example, a university mission plan or a country program agreement linking the funding agency and a recipient-country's institution), then the project identification process has a framework within which to fit. A preliminary judgement is required next on the likely effectiveness of the project and its general order of priority, with participation by all parties concerned. Greater problems of identification arise for projects that do not come within already established frameworks.

University activities do not readily relate to the top-down, programmatic approach that tends to be favoured by government ministries and development funding agencies. Universities also contrast with many NGOs, for many of which "crisis management" is at the hub of most operations; a sense of urgency tends to colour their planning processes, even those of a more developmental character. Universities can be at the other extreme: countless, decentralized committees can seek to review anything and everything in the greatest of detail, resulting often in indecision and a sense of frustration for those trying to launch international projects. Moreover, in many universities, the gap between faculty and administrative cultures can be widened by lack of familiarity of those making decisions about the social and economic circumstances of the partner organizations. As a result, many of the most entrepreneurial faculty members circumvent university procedures and work outside the university framework. Although for the individual or for corporations this can be rewarding, it does not do much to strengthen the university's capabilities.

Scientific development still seems to have lost urgency on the North-South agenda. Most developing countries are not using their limited funds for long-term scientific development, although some, such as China and Brazil, have received large loans from the World Bank for science and technology projects. The gap continues to widen, not only between North and South but also between developing countries, between regions, and even within regions. Whereas there is a mounting pressure on all industrialized countries to increase spending on research and development, this is not happening in Latin America.

— Hebe M.C. Vessuri in "Laying the foundation: the institutions of knowledge in developing countries," IDRC : 1994

Project preparation

Project preparation is rarely easy. To take a preliminary set of ideas and to craft a coherent and practical project from them is hard work and calls for a mix of commitment, experience and patience in working with others. If there is one useful principle for getting project ideas launched, it is "put it on paper." Put each suggestion and the reasons for it on paper — and keep it brief. A distinction is made here between two main parts of the preparation process: design and feasibility analysis.

Design

If the proposed project is part of an existing development agency's program for university cooperation, the chances are high that some comparative working models can be extracted from its files for reference purposes. Also, university associations, such as the AUCC, International Association of Universities (IAU) and UNESCO can be extremely helpful. Some large NGOs, such as the World Lutheran Federation and Oxfam, also keep excellent records. Comparative cases should be sought out for careful examination, but they should not be imitated to the point where particular, local conditions are ignored or, of utmost importance, a genuine and dynamic participation in the planning process is downplayed.

Effective projects require stakeholders. For bilateral projects, the stakeholders must be in both countries. The best way to become committed to the project is usually through hard work at the preparation stages and a consensus about both the problems and the appropriate goals and approaches to be pursued. Frequently, both university partners will be interacting with political and administrative bodies at various key stages; care must be taken to ensure the support of the authorities throughout. It is of critical importance that the "home partner" act as coordinator among its own country's institutions and that the "foreign partner" (North or South) not drive a wedge between the local groups. Although there will undoubtedly be occasions for the foreign partner to play a facilitating role, it should be careful not to presume to, or appear to, take over the partner institution's responsibilities.

Particularly when project designs are transferred from one country to another, all kinds of unanticipated difficulties can occur: the technology may not be appropriate for local social, political, economic or climatic conditions; it may be harder to obtain spare parts or fuel; cultural differences in terms of behaviour between the sexes and attitudes to maintenance may interfere.

> *Many other difficulties also exist in technology transfer and technical assistance in manpower development. Business firms want to sell finished products not the knowledge of how to make them, and consultants and researchers often prefer to rent out expertise rather than to work to make their future services no longer needed. Foreign scholars often "mine and exploit" information from Third World countries, for doctoral dissertations or for publication purposes, with little or no return or collaborative benefit to host institutions. Where donor agencies do give educational assistance, it is generally easier to obtain grants for buildings and equipment than it is to get help with training and research operating costs. Equipment received also needs upkeep, and spare parts may be unobtainable locally or may be obtainable internationally only at exorbitant cost. Equipment can also become internationally obsolete and unserviceable much faster than it would normally have to be replaced. Assistance from multiple sources over a period of time can mean that institutions acquire an assortment of incompatible equipment, with gaps in components and shifts in requirements reducing general useability of the whole. International research and assistance programs are also subject to fads and fashions which can distort - or suddenly abort — endeavours to research important local problems.*
>
> — Dr Koesnadi Hardjasoemantri, secretary, Ministry of State for Population and the Environment, Indonesia

For university projects to be carried out in some developing countries, the planners may have to explore ways to supplement local university incomes. Otherwise, the faculty could be spending much of their "project time" on outside consulting jobs or driving taxis. This is not an issue to treat casually. In one successful university linkage project, with the goal of training faculty for a school of social work in Guyana, money-raising activities were built into the project to allow local faculty to supplement their incomes by providing social services. Not only did this supplement incomes, it served to reinforce program links with the community. The use of project vehicles to supplement local transport systems is another (frequently used) measure. In this case, as can be imagined, the scope for abuse is substantial.

In project preparation, the use of local skills, organizations and experience is always desirable. Those working on the design should also not be reticent about drawing on advice from other international organizations working in the same region. The UNDP, for example, has a resident representative in most Southern nations; many NGOs have regional offices that support local NGOs or national societies; many multinational corporations have substantial knowledge about which firms of professional accountants or lawyers can be helpful should such a need arise.

Questions to consider in the design of development projects include:

- If the project includes a building, is it readily and safely accessible to students (including handicapped people)? If not, is suitable transportation going to be economically available? This is often a problem in developing nations.

- If the project is a training course, does the design graft onto sections of existing

courses, so that, from the start, some pieces can be taught by local people (from the university, business or government) and not all is novel? If this can be done, the foreign components can more readily be blended into existing capacities and not play a dominant or a discordant role.

- If the project includes a routine set of courses, will the scheduling respond both to the needs of the recipient partner institution and of the (Canadian) university? What may be feasible for an initial year may not prove sustainable over the longer term. It may require, for example, that senior and experienced (Canadian) faculty be available on a regular basis at times of the year when other commitments loom large.

- If the project is to be for research and development, are the Canadian researchers sufficiently sensitive and experienced to link research findings to, for example, social and community development environments? Many projects falter because of the complexities of moving from laboratory research to field application.

- If students or faculty from the partner nation are to come to Canada for degree or informal programs, are those Canadian programs going to be sufficiently flexible to respond to the requirements of the home nation and institution? Moreover, if theses (for example) are to be written, will the research findings be effectively communicated back in the student's home nation?

- If student exchanges are at the core of a project, are adequate support systems (counseling, health, logistics) in place or being designed? Unnecessary difficulties frequently arise because this aspect of projects is downplayed. This can be a particular concern when the student is married and has a family.

For every university project overseas, two key questions should always be asked:

- *Is there an emergency support procedure, in case things go wrong?* This requires the development of a critical emergency, response system for events that range from serious illness to coups. As more and more universities are working in disaster-prone areas, this issue is of growing importance. A link with the national Red Cross or Red Crescent Society's branch can be a good investment and, frequently, there are also ways in which the university can help reinforce its work. Especially in developing nations, the Red Cross/Red Crescent may well have a chapter on the university premises.

- *Is the project likely to be sustainable or is it merely ad hoc gap-filling? If the latter, is that appropriate?* Table 3 draws together a useful list of tests for sustainability, compiled by the OECD. Although these were not designed for university projects, they are directly relevant.

Table 3 OECD tests for sustainability of development projects.

• A conducive policy environment, with necessary changes made before project implementation
• Clear and realistic goals
• Project design is appropriate for the anticipated managerial and technical capacity of recipients
• Economic soundness and sustainability
• Affordable: startup, operations, maintenance
• Active involvement of local authorities, local organizations and target groups including women
• Realistic time frames
• Flexibility in project design and implementation
• Adequate maintenance and support systems and the capacity to manage them anticipated once external assistance has been terminated
• Compatibility with domestic sociocultural environments
• Environmental sustainability

Source: OECD 1992 *(This is a much summarized version of useful guidelines compiled by the Development Assistance Committee during the years following the 1992 Earth Summit. For further details, see OECD 1995, Development Cooperation, p. 54.)*

Feasibility analysis

There are many levels at which a project's feasibility is assessed, both formally and on-the-spot, judgementally. Feasibility encompasses a number of elements, including

- Political/pragmatic
- Economic
- Financial
- Capacity to be implemented and sustained
- Technical/appropriate technology
- Environmental
- Social/cultural
- Appropriate for the recipient institution, for example, not likely to lead to a dependency relationship
- Appropriate for the (Canadian) university, for example, in terms of ethics and priorities

When a project is being prepared, its goals, key components and scale are constantly examined and redefined. Emphasis must be placed on the value of marginal analysis as well as on the big picture or overall approach. Can 80% of the benefits, for example, be achieved for 50% or 60% of the costs? Can students be linked into a cooperative work program, so that they start to produce and acquire incomes, as well as gain valuable on-the-job experience? Can part of a building be used before the overall structure is

completed to generate some revenues or other benefits as soon as practicable? Is a new building really necessary for a series of courses, or could existing facilities (perhaps a hotel or government building) serve as a base? Are university planners being wrongly influenced by sunk (irretrievable) costs in their decisions about future investments, or (as they should be) by the real *opportunity* costs? What are the choices? Can the project be phased more efficiently? Can Canadian faculty inputs be effectively complemented by additional local counterparts? Are all those conferences really necessary, especially if they require overseas travel? Are the people who go to the conferences those who can learn or contribute most, or are they merely seen as perks of office? Are students being provided with adequate opportunities?

It is important, when preparing any project, to be conscious of all the key approval steps that it will have to go through.

In preparing university projects for international commitments, there is often no shortage of university senate reports, AUCC background documents and the like to use as reference points. Sources of potential support, such as CIDA and IDRC, also routinely distribute application forms with clear criteria as well as report on some of their limitations. It is always useful to examine successfully completed proposals and critiques of the strengths and weaknesses of particular cases or groups of proposals of previous years. Thus, for example, Elizabeth McAllister (1989, p. 7) reports on the experience of the Yogyakarta Animal Disease Investigation Centre:

> Because the project inputs and outputs had been specified in great detail in the planning documents, funds were locked into a tight pattern of programming and disbursement that made change very difficult, requiring many levels of approval. It also made it difficult to withdraw from funding ideas which were simply not working. This strait-jacketing is common to projects which are designed under the "blueprint" and "log-frame" approach.

In recognition of the potential for problems of application (especially when they are used in a narrow bureaucratic way), two frameworks are of particular value in project feasibility analysis when employed with intelligent flexibility. In particular, the main principles of each are worth understanding.

The first is a cost–benefit framework (Kent and McAllister 1985, pp. 45–60; for more detailed and theoretical work, see Kohli 1993). At the core of much private-sector analysis is a pro forma balance sheet, in which expected costs and revenues of a proposed project are identified for the estimated life of the project. Taking account of the different times when costs and revenues will be incurred or generated, a "bottom line" number is arrived at. This gives the estimated "rate of return" on the investment. If it exceeds a certain agreed upon number, say 10%, then the project may be deemed attractive enough to proceed with. If not, the proposal may be rejected or redesigned. Some form of risk analysis is also imperative to assess how sensitive the project may be to unforeseen

events, such as energy cost increases or slower-than-expected growth in demand.

In the case of public projects, a variation on the same theme of costs and revenues has been developed. The technique is known as "cost–benefit analysis."

The government wants to see results on its investment, while the university on the other hand wants to protect its autonomy. I think that a university torn by power-hungry groups, outside and inside the university, is in danger of becoming an inefficient instrument for education.

— R.K. Auala, "Current main trends and issues facing higher education in Africa," 1991

The same term is used for *costs* in the public as in the private calculations, but they may also include other elements or different weightings. Examples of public costs are subsidies (e.g., government-subsidized electricity or student grants), societal costs (e.g., increased traffic congestion, dependency attitudes, unemployment or crime resulting from a project), environmental costs (e.g., pollution from the project) and foreign exchange costs (e.g., for imported parts).

Revenues are called benefits in the public calculations to distinguish them from exclusively financial receipts and also to incorporate some new dimensions. Examples of the benefits of public projects might include fees for public services (same as revenues in the private case), improved health conditions (perhaps as a result of an immunization project), improved manpower productivity (perhaps resulting from a vocational training project), the saving of a number of lives (for example, as an outcome of a coastguard surveillance project) and the generation of additional employment opportunities (in situations of unemployment). Although some public project benefits are less easy to pin down (either in dollar terms or, indeed, in physical or direct output terms) than private-sector benefits, nevertheless the discipline of seeking to identify socioeconomic benefits (and to match them with costs) has resulted in numerous improvements to public project analysis, for example, by the World Bank (Little and Mirrlees 1991, pp. 351–385).

Table 4 Project costs and benefits (in US $000).

Items	Phase one (year)					Phase two 6–10[a]
	1	2	3	4	5	
Costs						
Capital costs						
• Construction of a new university teaching and research centre in country A	-	500	50	-	-	
• Purchase of two field trucks and a bus to help student transport	100	175	-	-	-	
Operating costs						
• Additional faculty and/or replacement faculty for project	-	75	300	300	250	
• Support/administrative staff	50	100	100	100	100	
• Local transport + in country A field expenses	50	50	75	100	100	
• Travel (air)/accommodation for visiting faculty/students	10	15	50	75	75	
Cost flows, annual total	210	915	575	575	525	
Revenues						
Capital grants						
• Grants for construction of university centre						
(a) from Canadian government agency	75	400	50	-	-	
(b) from country A government	25	100	-	-	-	
• Grants for truck and bus						
(a) from Canadian government agency	-	175	-	-	-	
(b) from country A government	-	-	-	-	-	
Fees						
• Student fees	-	-	75	150	200	
• Research service contracts	-	-	100	100	100	
• Community service payments	-	-	25	50	75	
Revenue flows, annual total	100	675	250	300	375	
Other benefits						
• Community benefits from use of centre (when not scheduled for project) for community extension education program: no charges	-	-	b	b	b	
• Upgraded teaching in 3 high schools, as result of *voluntary* teaching projects staffed by the students: no charges made	-	-	b	b	b	
• Reduction in malaria incidence and improved nutrition in local communities	-	-	-	b	b	
• Reduction in pollution of nearby rivers as an outcome of instruction to students	-	-	b	b	b	

Source: Ian McAllister

*Not sustainable if no external aid for phase II.

[b] No dollar estimates noted but an annex should be provided indicating the nature of estimated benefits together with *proxy* indicators.

Note: This *very basic* framework does *not* attempt to stretch costs or benefits beyond a simple listing of items and the more measurable costs/revenues... however, even a basic itemizing of the inputs and outputs can help both in the design and assessment process. Official US$ exchange rates are used. Phase II is left open.

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Some university projects fit comfortably into private-sector frameworks and, for them, cost–benefit analysis may be superfluous. Examples could be the financing (through rents) of office facilities, planned income generating projects (such as consulting services or commercial research services) and short-term training courses with full cost recovery fees. However, the benefits of many university projects are not easily measured with private-sector financial yardsticks. Particularly for their international projects, the basic idea of public cost–benefit analysis can be useful.

In Table 4, some potential costs and benefits are itemized. Numbers are not assigned to the "other benefits" boxes, but these items should be noted and due reference made to them in any final decisions about the project. A similar box for "other costs" may also be warranted, but it is not included in this simple example, which is only intended to be a very rudimentary framework, which would be enlarged in practice. A warning note must, however, be sounded: it must be recognized that a proxy indicator (such as the number of students attending a course or faculty–student ratios) is quite different from a real output indicator (for example, increase in labour productivity and subsequent output as a result of training).

There is a great temptation for funding groups in the public sector and universities to "market" their ideas and projects based on proxy indicators . . . Must ensure that eye is kept on end-result measures.

— Emery Fanjoy, Former Secretary to the Council of Maritime Premiers

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The difficulty of measuring some real outputs can be illustrated by the case of a student acquiring an idea from an instructor during class about the appropriate way to lower inflation through fiscal policy reform. This idea might be used by that student a few years later, when he or she is an adviser to the finance ministry, for example. It might save — or cost — the treasury millions of dollars. That would be a genuine output measure of the class. Although proxy indicators are often all that can be estimated in quantitative form, *reasonable* qualitative observations should *also* be added to cost–benefit studies for most university project appraisals.

The example (in Table 4) is intentionally simple. It does not, for instance, introduce such ideas as the shadow pricing of foreign exchange or of labour; if indeed that were to be relevant for a large-scale university project, it would best be assessed by the appropriate ministry of finance or funding agency officials in a manner consistent with the organization's agreed upon format. From the vantage point of a university, a simple model (as in Table 4) can be quite adequate.

The second useful tool for project feasibility analysis is logical framework analysis (LFA). A number of overseas development agencies (including CIDA) have placed great emphasis on its value. LFA was developed for the United States Agency for International Development as a management tool and is now widely used by international aid agencies and many NGOs (including Save the Children Fund and Oxfam). Canadian universities

have begun using the technique, usually at the prompting of CIDA.

Table 5 Logical framework matrix

Narrative summary headings	Objectively verifiable indicators	Means of verification	Important assumptions
Inputs	Types Magnitudes	Sources of information and methods used	About the project
Outputs	Types Magnitudes	Sources of information and methods used	About input–output linkages
Purpose	End of project conditions	Sources of information and methods used	About the output–purpose linkage
Goals	Measures of goal achievement	Sources of information and methods used	About the purpose– goal linkage

Source: CIDA

LFA breaks down a project into components to clarify the logic that binds the parts of the project cycle together. At the heart of the concept is a matrix (Table 5). The first column sets out inputs, outputs, specific project purposes and broader project goals. The indicators and means for verifying progress and impacts are then systematically identified, together with important assumptions. Not only does this kind of framework allow the funding agency to link project-level activities with its own goals and program budget processes, it can also be a useful planning and monitoring tool for the university and partner institutions — regardless of whether they are drawing on foreign aid funding. It readily relates to the earlier discussions of principles, costs and benefits and also to the (future) critique on critical path management.

Like all techniques, LFA has a number of strengths and limitations (an extended discussion can be found in Eade and Williams 1995, pp. 143–147). What has not been discussed is the importance in the case of international projects of applying LFA (as well as cost–benefit analysis) to both partners' perspectives. To ensure that both Northern and Southern perspectives are suitably understood and clarified, a hinged pair of LFA matrices (North and South) can usefully be drawn up and matched side-by-side. Too often, only Northern perspectives are recorded in these planning frameworks — largely because the requirement has come from the Northern funding agency — then the framework is blamed for "not working." The very act of drawing up an LFA from a Southern perspective acts as a reminder (to the Northern partner) that the counterpart institution may be having to assess the same project by quite different performance measures. The problem with some of these frameworks lies not so much with their basic

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structures or principles, but with the rigid and blinkered manner in which they are sometimes applied.

All the visiting scholars claimed the research trips to Canada were beneficial and fruitful. Their upgrading showed particularly in the new courses they prepared as a result of the visits and the breadth and depth of their thesis research conducted in Canada. They were exposed to the latest literature in the field, acquired research methodology through auditing courses and input provided by their supervisors, and applied the new knowledge to their own research and course design. They brought back books and materials which directly contributed to their home teaching and research.

— Professor Lu Jie, project director, Nanjing Normal University

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Although the jargon of project feasibility techniques keeps changing and refinements follow experience, the essential principles do remain. Project planners and managers are encouraged to be as specific as reasonable in identifying project costs and project outputs and benefits and to ensure that key questions (such as who is to benefit and how) are systematically asked and clearly answered.

Having argued the merits of greater precision, it must now be noted that there is often a bureaucratic tendency (in aid agencies and in universities alike) to lose sight of broad goals in the quest for (often quite unimportant) detail. One can only counsel for an intelligent interpretation of guiding frameworks and planning documents by all concerned. Moreover, no glowing feasibility assessment of the more technical issues of a project's design can be an adequate substitute for solid commitment to make it a success. Part of any assessment must focus on the attitudes and general experience of the team that will implement a project. Hirschman's (1967) classic, *Development Projects Observed*, is replete with case histories that remind the reader of the dangers of mechanical appraisals in the face of dynamic change.

Universities can also help their counterparts to build up models through which basic needs can be met at minimum cost. Through these experiences and experiments, various ideas can be tested and certain possibilities highlighted. Such models can, in course of time, play a pioneering role and help to establish a critique of the existing system and to evolve new approaches and strategies.

— George Joseph (India), Coady International Institute, St Francis Xavier University, Antigonish

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Project negotiations and financing

Once a project has been designed and assessed as feasible, the "acid test" is a written proposal that satisfies would-be financiers.

What are the appraisers looking for? Different appraisal groups will obviously seek different kinds of information, but a few key questions are likely to be paramount. They

include many of those already covered in the preparation processes.

- Who is the project intended to benefit?
- Why is the project being proposed at this time and what alternatives have been considered?
- Who is going to implement and sustain the project? How? Who are the long-term stakeholders?
- How will the project be judged a success and by whom? From the Northern perspective? From the recipient country's perspective?
- What will the project's impact be on women, children, disadvantaged groups and so on?
- What is the proposed lifespan of the project?
- Who is to carry the costs of the project?
- What are the longer-term foreign exchange requirements of the project?
- What are the major risks?
- Is the project consistent with the funding agency's principles and key sets of guidelines?
- Is the project appropriate to the country and will it relate comfortably in the local culture, or has it been designed in isolation (in Canada perhaps) by people used to quite different traditions and resource capacities?
- What will be the environmental consequences?

For those who have already prepared the project proposal and become committed to it, these kinds of questions can seem tedious. The case may seem obvious. Yet, literally hundreds of proposals can cross the desks of funding agency officials; nothing must be taken for granted. Not only do officials have to understand clearly a project's potential strengths and weaknesses, they must also be prepared to cover their political flanks. Moreover, these officials are working in fields where the "agreed upon best practices" are far from uniformly agreed upon. This is well noted by Morgan and Baser (1993, p. 28) in a report to CIDA:

> The emerging demands in the 1990s for more effective technical cooperation raise the same challenges for program and project design that the basic human needs movement did in the 1970s. As the process of institutional development proceeds, objectives, strategies and resource demands will emerge and change. Few projects can be defined in advance in objectively quantifiable terms. Project schedules will turn out to be driven by social processes, whose exact path and speed cannot be foreseen. The best that can be expected will be to *plan by successive approximations*. Hence the renewed interest in the international community in more flexible and adaptive approaches to project design.

The emerging demands in the 1990s for more effective technical cooperation raise the same challenges for program and project design that the basic human needs movement did in the 1970s.
Photo: Université de Montréal; (left to right) Mahamed Lamine (Guinea), Jean Poirier, professor, and Emile Benga of Senegal.

National and international donor agencies have long been biased toward funding individual research projects in developing countries rather than the institutions that conduct them. There are two reasons for this. The first is that we know, or think we know, more about designing and evaluating research projects than we do about building and strengthening research institutions. The second is that we feel we can exert more control over the success of a research project than over the success of a research institution, whether or not this is in fact the case.

— Hernando Gomez, higher education consultant

Regardless of planning processes, basic questions are invariably at the crux of both big and small project appraisals. At the same time, the larger the project, the greater the degree of sophistication and detail that will almost inevitably be required. For large university projects (e.g., over $500 000) a series of separate specialist inputs will often be injected into the appraisal process. These are likely to be technical (e.g., economist, medical specialist), human resource, managerial and administrative, environmental, social, financial, and so on. Also, the larger the project, the more formal the appraisal process can be expected to be and the more complex the subsequent reporting system, if it is approved.

As a project is being negotiated, modifications can be expected in the data and shape of parts of the proposal. Both simple cost–benefit and LFA frameworks should be included, *regardless of whether they are formally requested* and even when the potential funding organization (e.g., IDRC) may make observations such as:

> The key here is not preplanning but developing an organization with a capacity for learning. Programs are not designed and implemented, rather they emerge out of a learning process in which host nationals and program personnel share their knowledge and resources to create a program which achieves a "fit" between the needs and capacities of the beneficiaries and those of the outsiders who are providing the assistance. [IDRC n.d., pp. 8–9]

Such observations may indeed be attractive to a loosely managed and free-spirited university community, nor be devoid of experiential wisdom, but they are unlikely to take a project application too far in the context of numerous funding requests.

At the same time, however, great care has to be exercised, once negotiations proceed, to ensure that the cutting and pasting (that almost inevitably precede final approval) do not result in some hybrid compromise that, although satisfying the textbook regulations of a donor funding agency or of some university faculty's or senate committee's criteria, no longer has the support of the partners whose project it really is. It is essential that the outcome of negotiations is a group committed to the success of the project. Donor-driven prescriptions or the abstruse regulations of some academic committee can be recipes for disaster. Participating partner institutions have to be particularly aware of this risk and careful to do their own essential homework.

Some people have come up with a few solutions which have worked in one country or another, tried them in Africa, and quite a number of them have failed. They have failed because Africans were left out from the discussion or else, if they were brought in, they were brought in as window dressing. Somebody comes with a package and says you either take it like this or else my country won't agree. Therefore the poor African says, "Let me swallow the bait and hope and pray it works . . . " Often, it hasn't worked and Africans have actually become worse off.

— Ms Sachito Leiko, minister of agriculture, Uganda

A good way to move a project forward is to include, in the submission, an "implementation proposal." This should reflect the vital first steps toward the early phase of project execution, i.e., it should provide a well thought out management bridge from idea to action.

In the university context, financing will often consist of a blend of funds from a donor agency, contributions (possibly in kind) from the university, sometimes a bank loan and usually some local resources (e.g., committed faculty, clerical support, housing, transport) from the partner institution. This last component is extremely important. At first it might be quite modest, but, over time, it must become increasingly significant if the project is to become sustainable. Unless local commitments are made, the project will be (and will be seen to be) a foreign gift or, worse, a foreign intrusion. Contractual documents should always be drawn up whereby the essential details and commitments are clearly specified by all parties. Generally, the less complicated the initial sources of financing, the better it will be for the project. As the project proceeds, additional funding sources can be tapped

to provide additional security and flexibility.

The government also feels that the university can be an agent of development, that it is part of the development process. Therefore, the government will seek even international loans to finance university programs in environmental training, research and studies. I hope that these academic programs and action programs will have an influence on policy decisions in the government.

— Dr Sukadji Ranuwihadjo, director-general of higher education, Ministry of Education and Culture, Indonesia

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Whatever the details of the university's organization, for a large project especially (for a very small project the phasing can be more blurred), the implementation proposal should be the last step for which the "planner" is responsible. The next step is the drawing up of a management map, and that is the point at which the person appointed to be project manager ideally takes over. The planner and the project manager should consult closely with each other at this time; but sensible consultation should not confuse responsibility. The project should now become the clear responsibility of the project manager.

In the case of a small project, the planner may well become that manager, but even then there should be no misunderstanding about the mandate or framework for this new role. In the case of a large project, the manager will quite likely be a different appointee. The choice of project manager should never be left until the last possible moment, nor should project management be viewed as the easy part of the project process. There is a tendency in universities to regard traditional academic functions (especially research) as serious undertakings, but management as easy and of little real value. Such an attitude can be disastrous for complex, international commitments. The best of projects can become a fiasco unless well managed. If the planner is indeed to become the project manager, some due process should occur — with clear role distinctions made, genuine authority given to the manager and clear contracts drawn up. Planners do not necessarily make good managers.

Project execution

The implementation phase of projects can be broken down into two main parts:

- the approval stage to actual operations
- monitoring and operating

Because less has been written about this aspect, in the context of university development projects overseas, I will lay out some basic steps that might become reference points for more substantive work by others. At the same time, a caveat must be sounded, again citing Morgan and Baser (1993, p. 25), "For many observers in the development

community, program and project design came to mean packaging techniques to ensure domestic approval rather than the initiation of processes to enhance the capacities of local institutions."

From project approval to operations

Every project requires a clearly defined manager for each part of the implementation process, and everyone must understand that person's responsibility for the project's ultimate success. The project manager's duties must be clearly defined, in writing, with his or her participation and signed concurrence regarding the outcome. This is stressed as an antidote to the tendency in many universities to try to take the edge off organizational problems and to avoid power struggles by appointing committees. Committees can play advisory and coordinating roles, but management by committee can be a recipe for disaster.

The project manager must have ultimate project responsibility. The key to successful implementation of any project lies in the choice of the right person for this position and, as an important corollary, a clear job description that is made available to the key members of the organization, not simply hidden away in some personnel file.

For projects involving two or more institutions, say in Canada and abroad, it is important that one person (usually in and of the overseas nation, if that is where the bulk of the work is being done) has overall responsibility. Within a clear framework, others may well have distinct responsibilities and appropriate authority.

The following steps are organized into three stages: drawing a management map; compiling a detailed work plan; and supervising the project until it is ready to be handed over for operation. The ideas are applicable to both human resource projects (within which category most university projects fit) and capital oriented projects.

It may be tempting for some faculty members to discard this approach as an obsolete "blue-print model," not relevant to the more evolutionary processes characteristic of currently fashionable human resource and research development models. I recognize these reservations, but believe in the value of greater precision in this general implementation phase.

A Management Map — Six Steps: These main steps are not meant to be some strait-jacket formula, but to act as initial and disciplined points of reference.

1) Break the project down into clearly defined principal tasks.

2) Analyze each of these tasks, their human resource needs, equipment and material requirements and their implications for the timing of the project.

3) Establish an organizational structure appropriate to the tasks, with job descriptions for the principal staff involved and clearly defined procedures for appointing and/or seconding these key staff. Be careful to identify what is to be undertaken in/by the overseas institution and by the Canadian university.

4) Establish a steering committee with appropriate representation from the implementing bodies (e.g., university groups) and from the funding agencies and key ministries in each country. Be sure not to exclude client organizations from the overall policy committee. (Other subgroups will be formed for operational purposes, staffed by members of one or both the partner university institutions.) Identify key meeting schedules (e.g., quarterly). Minutes of meetings should be mandatory.

5) Appoint the principal staff.

6) Establish procedures for the recruitment of other personnel.

Geographic proximity, traditions and cultural ties, the level of economic development as well as the experience gained and problems faced by the countries of Africa and Asia offer broad scope and greater potential for the expansion of South-South co-operation - one of the pillars on which all international cooperation strategies rest.

— Domingo L. Siazon, Jr, director general, UNIDO

A Detailed Work Plan — Ten Steps: The following steps are basic to almost any project (obviously for a small and simple one, they can be taken quickly).

1) Develop specifications for all main parts of the work. In the case of a training project, for example, the general shape of each training module should be defined, its duration, the number and kinds of participants for whom it is to be designed — particularly for the initial phases. Some future adjustments can be expected and, indeed, may prove essential for a successful outcome. Nevertheless, overall frameworks should still be outlined. The principle is one of structured flexibility. As another example, for a building, engineering details related to purpose, location, expected participants and their needs should be identified — again recognizing that changes may occur as events unfold.

2) Secure necessary materials (e.g., main course documents, engineering drawings for a building, university senate guidelines for overseas student exchanges and so on).

3) Quantify requirements (e.g., transport needed, medical supplies required, classroom, housing and office spaces required and so on).

4) Establish the human resource requirements for each main task. For overseas projects especially, be careful not to underestimate potential problems (e.g., breakdowns in security, transport, electrical and telephone service and water supply). Additional support staff may well be needed for an overseas project to be managed effectively. Figure 6 reminds one of the digestion requirements of a project.

5) Prepare a critical path schedule to determine the sequence in which tasks should be started and finished. Even for a small project, the key ideas behind critical path management are useful (Taylor and Watling 1973; Baum and Tolbert 1985, pp. 360–362). It need not be complex, it should be integral to the work plan and it is not a format that should be seen as useful only for engineering projects (see Figure 7). Critical path management is of value for all kinds of management plans, not least of which are international linkages where timing is constantly threatened by distance, communication breakdowns, cultural differences about the importance of keeping to schedules and so on.

6) Establish liaison arrangements with local authorities and community groups, other departments, other universities, the funding agencies, possible suppliers, etc.

7) Ensure that procedures for acquiring necessary permits, licences, etc., are clearly spelled out. This process is particularly important in the context of universities and their international projects and cannot be taken for granted. Different countries have very different procedures. Student research activities, for example, can raise numerous local difficulties, as can work permits, taxation arrangements, speedy access to foreign exchange and local banking regulations.

8) Make detailed cost estimates for each task; project the flow of funds required through each phase of the work and spell out how monies are to be transferred.

9) Design an expenditure approval system to control disbursement of funds.

10) Establish a reporting system to ensure that both the financial state of the project and its progress are clear at all times and that difficulties and delays are immediately apparent to those concerned. Audit transparency is a necessary condition for soundly based university projects, both of financial transactions and of project activities. Both financial inputs and project outputs require readily accessible, coherent, monitoring systems.

For a long time we have sat in meetings discussing concepts and methodologies. We are pleased by these recent meetings to formulate activities for projects. This is a turning point for TCDC . . . But each country should carefully examine its own capacities. We must realize that our institutions may not be able to cope with so many activities at the same time.

— Aurora Riva de Cebreros, executive director general, National Planning Institute of Peru

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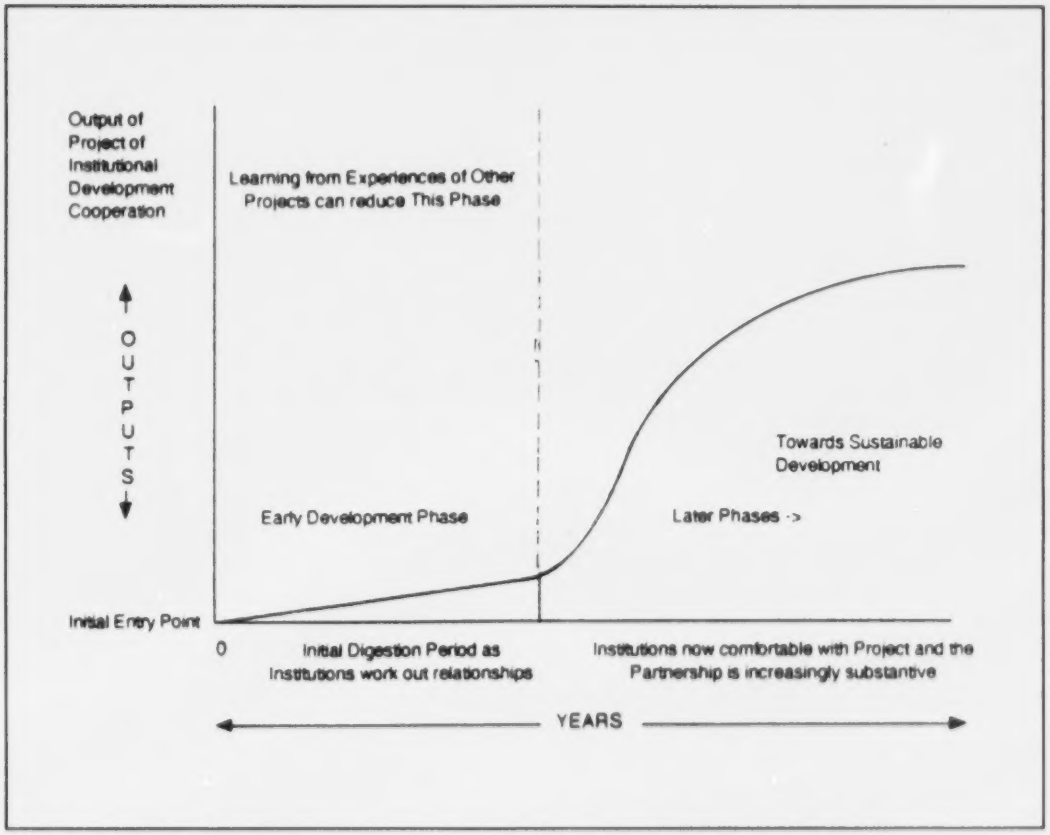

Output of Project of Institutional Development Cooperation
Learning from Experiences of Other Projects can reduce This Phase
OUTPUTS
Towards Sustainable Development
Early Development Phase
Later Phases ->
Initial Entry Point
0
Initial Digestion Period as Institutions work out relationships
Institutions now comfortable with Project and the Partnership is increasingly substantive
YEARS

Figure 6 Project "digestion period" in context of international partnership.
Source: I thank Valdemar Larsen of AUCC for this concept, March 1995.

Supervision — Twelve Steps: Supervision of the project up to the time when it can be handed over for operation requires at least the following steps. (Once again, for small projects, most of these tasks can be done quickly and in a simple manner).

1) Promote full understanding of the project by all engaged in it and by all who will be affected by it. There should not be uncertainties about the goals or the general shape of the project among those who are to be involved as overseeing authorities, funders, workers, students, beneficiaries or media contacts. Ill-informed rumours can generate unnecessary obstacles for good projects. Routine, accurate and unembellished reporting arrangements (on paper and, when feasible, through electronic media) are essential requirements. Special briefing sessions, routine meetings with authorities and local politicians, and so on are of the greatest importance.

2) Ensure high morale among all personnel and, both through senior staff and by direct contact, promote individual productivity and efficiency; in essence, be around, be encouraging and understanding but firm in an undogmatic way. Be a good listener and be careful not to discourage ideas and advice; failure to listen will isolate you except from "yes men/women" and the project will suffer. Different cultural dimensions and distances between partners can add numerous complicating factors.

3) Ensure that all university personnel requirements, including for the health and safety of workers, are fully met. If you are embarking on new territory, be careful to design appropriate, transparent guidelines.

4) Ensure that there is effective consultation between all levels of management and staff (Canadian and overseas), including prompt and genuine consideration of grievances. In a horizontally structured organization, like a university, which draws on student and faculty volunteers extensively, the development of effective teamwork is essential. It requires constant effort on the part of management. In many developing nations, some kinds of compensation, logistical/transport support, food assistance and so on, will often be necessary as most local instructors, students and other staff will be relatively poor. Canadian faculty and staff will frequently experience culture shock, feel isolated from their Canadian university, will be concerned (especially if on special contracts) about future employment, tenure, promotion and other considerations. If a Canadian university administration cannot resolve such problems in a professional and humane manner, it has no business taking on overseas commitments as an institution.

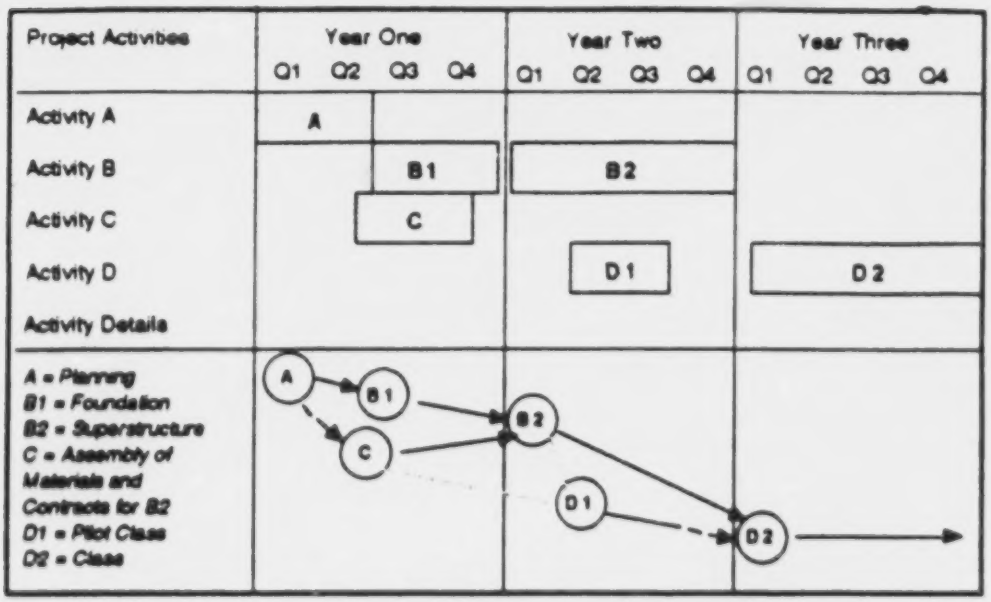
5) Ensure that there is effective coordination among task units at each phase of the work. Efficient information exchange systems are essential for this to happen, as well as regular, well-prepared meetings. Written agendas, written minutes and the development of a sound institutional memory are necessary.

6) Ensure careful preparation of all contracts. Contracts should be in writing and, so far as practicable, should be reviewed by a practising lawyer. For large or complex projects, legal appraisal should be mandatory.

7) Monitor the progress of the work in relation to a basic critical path format and constantly review the flow of commitments and expenditures. Use a written reporting format that covers both inputs and project outputs. Computerized spreadsheets can facilitate this process.

8) Monitor the quality of work in relation to project goals. Use a written reporting system.

The purpose of critical path management (CPM) and similar systems is to provide management with current data on the progress of projects, in a manner whereby operational priorities can be routinely monitored and the more critical activities can be isolated and kept on track. Over the life of a project, adjustments will usually be needed to meet deadlines and cost parameters.



In this simple example, activity A is planning, activity B1 is the construction of a foundation, activity B2 is the building of the superstructure (a training centre), activity C is the acquisition of materials and letting of contracts to enable activity B2, activity D1 is the first pilot class seminar and activity D2 is a set of training classes.

Project Activities (following principles of a Gantt chart) are displayed in horizontal bars, depicting the time relationships of the main activities of the project. A number of activities can be undertaken concurrently, the timing being determined by physical and economic efficiency requirements.

Activity Details are circled, showing the earliest planned starting time for each activity. A solid line indicates that the activity is scheduled (without interruption) to be completed for the earliest planned start-up time of a dependent, next stage activity. When a solid line begins or ends with broken lines, it indicates some float or leeway is available before the next activity that depends on the results. Dotted lines (with no arrow heads) simply indicate there are no scheduled activity linkages; hence neither activity will depend directly on the completion of the other. The continuous line (from year 1, Q1 to year 3, Q4) represents the critical path, i.e., the longest path that indicates essential steps, which, if delayed, will slow down the completion of the project. As a project is being implemented, the critical path can change as hold-ups or other problems alter the planned scheduling.

Figure 7 Critical path management

9) Ensure that the control of commitments and expenditures is effective. Regular meetings and the provision of clear and comprehensive written reports (with actual expenditures beside the initial estimates) are essential.

10) Take prompt corrective action when required, including a realistic revision of timing and cost estimates in face of difficulties. It is not unusual for civil or military disruptions to occur in many developing nations, as well as major foreign exchange crises and natural disasters. If a major disruption or a serious project error has occurred, do not try to paper over it, but resolve the difficulty in a systematic way. This may, on occasion, even require stopping the project. Keep written records. Do not take chances with the lives or health of personnel. Careless words or actions can put local staff in the overseas institution particularly at risk, especially in situations of civil unrest and human rights violations.

11) Make regular reports both to project staff and to senior management, in partner institutions and the appropriate authorities, according to an agreed reporting system. The system should, ideally, be agreed to in writing before the project commences. Ensure that the reporting needs of all partner institutions and their respective political and other authorities are fully met.

12) Ensure that local community interest in, or concern about, the project is respected and responded to. Information meetings are necessary, as are regularly distributed and clear bulletins or newsletters.

Technological and economic development takes place within a context of cultural values and social arrangements which necessarily modify its impact and its operational conditions. Developing countries seek modernization in their means of production, and in their means of education, communication, research and technology, but they also have to maintain their cultural integrity and have to develop indigenous social arrangements to suit their particular needs and aspirations.

— Dr Koesnadi Hardjasoemantri, secretary, Ministry of State for Population and the Environment, Indonesia

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This list is not as demanding as it may first appear, nor is it provided to promote restoration of a "blueprint" approach to development. Far from it. However, elements of any development project process call for clear advance planning, of a logistic kind, to promote rather than prevent flexibility as the project progresses. If the project is of a kind that has been done many times before, many of the steps will be largely routine. But that does not lessen their importance. All the elements of a project manager's job are called for in simple and familiar development projects, as well as in large and unusual ones; to ignore any of them is to invite trouble later. The difficulties of working in two (or several) countries should not be downplayed, and the time necessary for planning and management procedures to be carried out properly should be acknowledged.

> *The training has changed a lot of my ability to work, my habits and my methods and techniques of project implementation. Being a government employee and not knowing the real operation of a research project, I used to report to office following standard government time. But after my training I realized that the time element, diligent work and resourcefulness are very important in a research project. I learned to work without thinking of time and expecting any overtime pay especially at night in monitoring the spawning activities. I was given full support in the project through additional personnel, additional funding, immediate action on papers of the project and recognition.*
>
> — Trainee of the Bureau of Fisheries and Aquatic Resources, Department of Agriculture, National Bangus (Milkfish) Breeding Program, Philippines

The implementation of any project, whether of a university or other organization, calls for certain skills and procedures. It has already been argued that university projects can display distinct qualities at other phases of the project cycle. This is no less true during their implementation phases. For example,

- The implementation process can itself be seen as a teaching and a learning process. This can be reflected in everything from the nature of the staff contract guidelines to the involvement of students at all stages.

- Vulnerable people, including the handicapped, can be deliberately enabled to play roles in the implementation process. Universities are responsible for leading, not lagging, in the pursuit of social responsibility. Overseas partnership projects should not be exceptions.

- Care can be taken to draw on a mix of disciplines in a responsible way, ensuring that management draws on most recent research findings.

- Attention can be placed on gender balance throughout the processes. This is now an easy statement to make in a North American context; it is far from straightforward in some other cultures and, thus, it is even more essential for sensitive leadership to be in place.

> *So what I did not like about the experience? Racism in all its subtlety — and open hostility.... I will not state here what were some of the experiences I personally encountered as a black Caribbean woman. Suffice to say that as Jamaicans put it, "if yu want good yu nose have fe run" (if you want to do well, you have to be prepared to suffer). The uppermost thought was that my home was not here. What left me very sad about this side of the experience is that after all these years, the dominant white culture is still* studying *racism instead of* acting *and* implementing *measures aimed at erasing this insidious cancer.... What will I take away from this experience? Many beautiful things, namely the exhilarating challenge of post-graduate study; the thrust and parry of debate; the immediacy of access to up-to-date information and computerized libraries; the cosmopolitan nature of life at a large, historic university; the blending of old and modern architecture; the noble ideas of research into science, art and literature.*
>
> — Blossom Lynch, Jamaican graduate student in education

Operations

In many university projects, especially advisory, curriculum design, research and training, the project manager subsequently becomes the manager of operations. He or she may have been the original initiator of the work. If that is so, it is still important that everyone concerned be clear about the manager's place in the departmental organization. Usually, his or her reporting line will change when he or she moves from one role to the other. The authority delegated to this person as project manager does not, in itself, give authority to make the preparations for operation. That must be done separately to the extent that it is appropriate under the university's procedures for operational administration. To the extent that other units of the university have functional responsibilities in such operations, they must make the necessary preparations. In the context of international partnerships, it is important that there is written agreement, as well as genuine commitment, to the operational procedures. Although, inevitably, some "give and take" will occur as any project evolves, care has to be taken to avoid competition between the partners or, equally risky, responsibilities falling between the cracks.

When a project is ready to be handed over for a new stage of management, the need to plan for this phase is obvious. Yet, in a busy world, timely preparation cannot be taken for granted. The reporting of progress is probably best tied in to a check-point system. Once again the principles of critical path management are useful.

In the case of a university training centre for example, desks, computers and other equipment and supplies must be ordered with sufficient lead time. A director must be appointed. Instructors must be recruited. The community in which the centre is located should be made to feel that local people are participants in the project. Arrangements for the registration of students must be made and so on.

Many needs are obvious and certainly do not warrant extended description here. What does require emphasis, particularly for an overburdened university in a developing country, is that it is almost inevitable that even obvious requirements will not be acted on in time unless there is a planned system for doing so. The system must be designed to set the wheels for the operation of the project in motion at the appropriate time in the course of its preparation. The schedule should guard against another human weakness — that of underestimating lead times.

Certain problems have confronted and continue to confront the university teaching industry and the goals of tertiary and higher education in general [in Africa]. Three problem areas are worth noting: rate of output, waning intellectual tradition and declining productivity, and political demands and surveillance.

— Abel G.M. Ishumi, professor, faculty of education, Dar es Salaam, Tanzania

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It is during the operational phase of a project that the university's "image" becomes most evident. Once more there has to be clear thinking about what comprises the fundamentals of that university image. Four examples are provided below. A wide variety of

imaginative directions can be grafted onto projects; the key is to determine which are central and to what purpose. Care has to be taken not to be diverted from the central goals, as defined in the mandate. If the contract arrangement needs to be changed to adjust the project's goals and dimensions, then that should be done in an unambiguous manner.

The Project — A University Teaching Hospital in a Poverty-Stricken City: Can the poorest of the poor gain hospital access without funds? Or will the hospital cater only to the well to do? The hospital may seek to develop a reputation for excellence that will attract the rich as well as the poor, but what balance should be struck and will the hospital be financially sound? Does the project include a sense of ethical priorities and approaches? Are AIDS education and counseling services linked effectively to its work? Are women promoted to senior posts, when they are appropriately qualified? Are child-care support systems in place? Are *all* staff provided with a profile of the history and philosophy of the university? Are staff problems (including dismissals) handled with humanity? Are staff rules humane, and do all staff members have opportunities for self-improvement? Are hospital staff encouraged to draw upon students? Are follow-up services (perhaps students can help here?) available to elderly patients when they are discharged — often to very poor home situations?

Each university project should surely be seen to be a catalyst for nurturing initiative and leadership. The goals and the specifics of an agreement between, say, a Canadian university and a partner university and its teaching hospital clearly need to be thought through carefully before commencing, as do the processes to be followed for periodic progress evaluations. If some of the earlier questions cannot be answered satisfactorily, then either the Canadian university should rethink its involvement or, and this may be more appropriate, a plan should be developed to factor these concerns into the program.

The Project — A Rural Health Clinic: In addition to the kinds of questions raised above, is the clinic linked into community development work? How is research linked to outreach work or are these isolated from each other? (Susan Kalma's (1993) *Nursing Case Studies from Tanzania* provide an interesting blend.) Are there programs to help young people understand more about genuine primary health care, first aid programs and so on? Is there an outreach program from the clinic that supports women when they are back in their, often very difficult, environments? Are social scientists, in addition to medical staff, encouraged to participate, and are they listened to? What are the respective university partners' roles in operating "dynamic" projects?

The need for international development efforts to take account of the local cultural milieu, of the attitudes, traditions and perceptions of the cultures of the Third World countries cannot be over-emphasised... special efforts need to be made to help strengthen local capabilities for self-reliance and to help develop indigenous substitutes.

— Gloria Nikoi, senior fellow (Ghana), Lester Pearson Institute for International Development

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The Project — A University Building Housing a Business School: Perhaps two floors are used by the university and two floors rented to other organizations. Does the university ensure that all the tenants are made to feel part of a university family? For example, are the tenants also encouraged to employ students? Are the tenants encouraged to become university volunteers, to participate in extension programs, etc.? Is the business school drawing on local and culturally sensitive case studies or is this material imported — perhaps merely translated into the local language (if necessary)? Is the school catering only to large business interests, or does it have programs for small (often impoverished) entrepreneurs? How are they financed? What is the image of the business school in the local community?

The Project — A Training Course: Is it destined to become yet another elitist course for the usual participants? Is it conducted in a way that, for at least part of the program, the participants are linked to job situations prevalent in the country? Often outside experts may have been invited to a conference or course; is there an opportunity for them to give talks to a broader audience, including regular university students, meet with people in the community, staff and children in a local school, and so on?

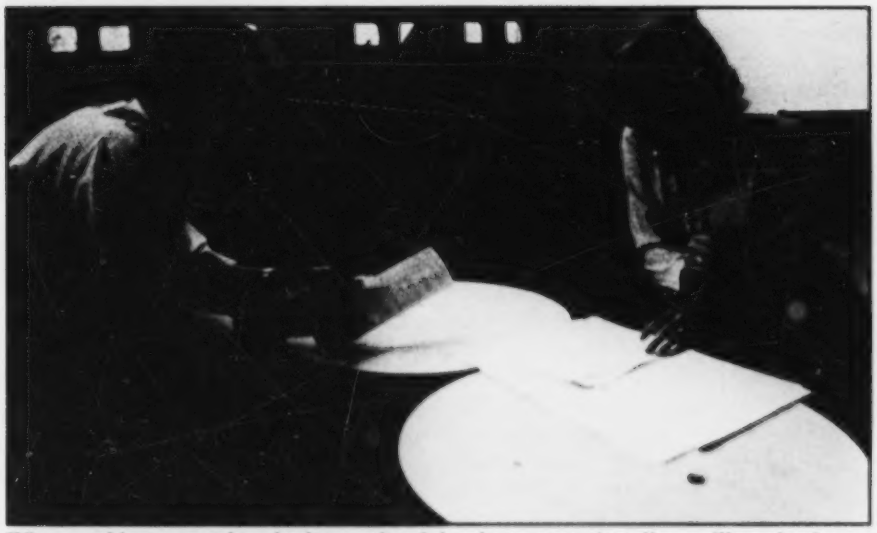
Five OISE doctoral students came to our institute for field research in the Northwest region [of China] and another three Canadian faculty members delivered lectures and seminars here. All of these activities had a strong impact on strengthening the faculty over the last five years. Young faculty members became a leading force in teaching, research, and curriculum renewal. The project will prove of long-term benefit not only to our own university, but to the Northwest region's educational development.

We would like to share the following four points, derived from our reflection on our experience gained in the project:

1) *There is a need for mutual understanding of both sides' institutional conditions and capacity. Through correspondence and information sharing, we got to know OISE, its academic setting and its string capacity in educational research. We made our selection criteria based on academic priorities aiming at producing future academic leaders, and secondly on language competency, to ensure better outcomes from the research trip.*
2) *To create the best working environment for returned scholars, they are encouraged to use the new material and new methodology in teaching, creating research topics and applying for research funding, publishing papers and books. Three of the returned scholars have taught new courses for masters students. They promoted their Canadian study experiences through different channels - through teaching, seminars, conferences and forums. They fully disseminated the new knowledge acquired in Canada. With their promotion to higher positions, they demonstrated the achievement of this linkage program.*
3) *The main benefits resulting from the linkage to our institute are, indeed, human resource development. The young faculty have strengthened significantly their teaching and research capacity, and the resource and reference material they collected in Canada provided a theoretical base for their dissertation research.*
4) *This joint program is the first one which we contributed to international academic exchange, and we have every confidence that we will have broader cooperation with Canadian universities in the future. There are many pressing issues such as minority education research, curriculum research and research methodology in education. All those are waiting for our joint forces to be brought to a new phase. We believe this joint effort will benefit both sides.*

— Professor Li Bingde, director, Educational Science Research Institute, Northwest Normal University, China

The common element in each of the above examples is the concept that universities are not just engines of development, they are also nurturers of visions. University projects should not be construed in too bureaucratic a manner when the specific mandates are being designed. Although business efficiency has a vital place in many aspects of a university's work, the university should also be demonstrating a dynamism, sensitive to local circumstances. Lines will have to be drawn between efficiency, effectiveness and social responsibility, both at the operational management level and in the steering or policy committee.



When working on a university international development project, lines will need to be drawn between efficiency, effectiveness and social responsibility both at the operational management level and at the steering committee level.
Photo: Denis Marchand, IDRC; Dr Joyce Pickering, project leader, with Dr Filomona, the district health officer of Harer, Ethiopia (McGill University project).

Evaluation, follow-up and institutional memory

Evaluation properly understood is essential to the effective work of any organization. It is simply the organization learning from experience. It should be as much a part of any project as the initial planning or the subsequent operations.

The most routine kind of evaluation is the audit. This is conducted according to the rules of relatively narrow accounting principles. It is a traditional process and an important component of management procedures. Disciplined financial procedures and transparency are essential; arms-length, professional accounting firms should always be retained to ensure this. It is an aspect of international project cooperation that calls for a combination of conservative practice and a sound understanding of local circumstances.

If financial transactions have been documented routinely throughout the project's life, it should be easy to compare what actually has happened with what was authorized; and usually it is not difficult to detect the reasons for any discrepancies. International projects, even more than those in the same country, require careful written explanations of the working context of the project. It is far from unusual to encounter expenditures in developing countries on items that would not be anticipated in a Canadian setting. Power cuts, currency fluctuations, water rationing and telephone breakdowns, security difficulties, medical, transport and other logistical complications will be much more extreme and frequent, necessitating expenditures on ways to prepare ahead and on sometimes unorthodox approaches to overcome difficulties and keep the project on

course. Overseas projects in developing nations, almost by definition, require a more flexible management approach than, say, in Halifax, Toronto or Vancouver. There is a distinction between flexibility and sloppiness. There is also a distinction, which is far more controversial, between "dash" (or small-scale bribes used to speed up or get a job done, e.g., by local electricians or telephone repair people in a West African nation) and corruption. This can be a slippery path and it is essential that financial documentation be both accurate and complete with full explanations.

Another kind of evaluation is also essential — one that probes into each element of the project cycle to determine how *effective*, as well as efficient, the project has really been. Such an evaluation calls for experienced people, ideally from several disciplines if it is a large project. Evaluation activities can also be a good way to enable young university faculty and students to gain experience. But this should only be seen as an additional training benefit, not as the core process. An experienced chief evaluator is a must (Shute 1994). Often members of the evaluation team can be drawn from nearby universities and other organizations in the region of the project, where cultural similarities will exist and comparative experience is likely to be the most relevant. The work of Robert Chambers (1983) on rapid (participatory) rural appraisal, provides good insights; a summary list from his work is included in Appendix 5 in the expectation that it will encourage those unfamiliar with his work to read more.

The evaluation process is frequently broken into several components. In addition to the audit, there will be some form of ongoing monitoring. This will be linked to straightforward objectives, such as the start of courses on schedule, the completion of degree programs by students, particular community "deliverables" being undertaken and so on. A mid-term evaluation is also usual for most development projects — usually two or three years after the start-up date. This is intended to ensure that any necessary substantive changes are identified and made. Finally, there is the end-of-project evaluation with its own series of follow-up actions.

For big projects, evaluations can be lengthy processes because of the complexity of the project and the volume of data. Small projects can often be evaluated within a single day. For all projects, outside objectivity must be balanced with an appropriate amount of inside participation. If the importance of inside participation is not recognized, not only is the evaluation likely to be simplistic and ill-informed about essential elements, but also subsequent recommendations might easily be left on the shelf to gather dust. Conversely, the value of outside objectivity is not to be downplayed; a sense of perspective can readily be lost by those closely involved with, and committed to, the project. The mandate of the evaluation team, as well as the process to be followed, must be unambiguous.

We are convinced that scientific cooperation is not only crucial for universities, but is also and most emphatically for Latin-American countries and their socio-economic development. Our role is not just to develop new technologies, but also to measure their impact on society's cultural values and modes of production.

— Luis Garita Bonilla, rector of the University of Costa Rica

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Quite often external circumstances change soon after a project has been embarked on. One main question for evaluators will be, did the project itself also change effectively with the times? If it did not, then should it have? Should the project change now, after it has been evaluated?

The process of follow-up to project evaluation is as critical as evaluation itself. The people working on the project are entitled to know the results and to comment on them fully. Evaluators do not always get their facts right; impressions can be wrong and additional insights are often useful. Before any evaluation is started, a follow-up mechanism should be decided on in principle and its broad approaches discussed with the project staff and evaluators. Exact details will often best be determined once the evaluators have made progress in their work. Planning for the follow-up process should never be ignored until after the report is finished.

Two essential development benefits may be gained from the effective follow-up of evaluations. First, if the project is still active, the staff can usually make improvements. Therefore, it is important for the management to ensure that the evaluators' recommendations are reviewed carefully and, if accepted, implemented. Second, the lessons learned in one project can almost certainly be applied to other projects. It is important to work out how these lessons are going to be transmitted — especially in a complex organization like a university. Institutional memory does not consist of dust-covered boxes of reports in a basement wilderness. It is a training- and service-oriented, regenerating process that requires a proactive approach and excellent communications systems. CIDA's series of concept papers on various aspects of human resource development in China is an example of how lessons can be passed on (Bernard et al. 1992). The manner in which Anderson and Woodrow (1989) developed training courses around their case work is another useful model.

In most university environments, the relevance of evaluation is widely recognized. It is useful for fund-raising, demonstrating professionalism to donors. It is useful for research — the "raw material" of publications and training. It is a good way to advertise the university's work to the community. Fundamentally, it is a way to make good projects better.

Like most things, evaluation must be viewed in context. The cost of good evaluations can be high; priorities have to be set for evaluation just as for anything else. Very large projects often warrant relatively costly evaluations, particularly if similar projects are being planned. Small projects are often best evaluated on some sample basis and then only in a straightforward manner. Systemic lessons are to be searched for. As a rule of thumb, evaluation should probably not cost more than 5% of a project's budget and, for many projects, 2–3% is probably a reasonable target. The fact that universities have graduate and senior undergraduate students, readily available, is a definite advantage for this phase of project work. Evaluation can frequently fit into thesis and other requirements, and participation in such exercises can form an important bridge between the university study process and the outside working environment.

Summing-up on development projects

Four main points round out this discussion on second-generation university activities:

Although the major funding agencies have had a developmental orientation, many university personnel have often not shared this mind-set. Indeed, in the case of international projects, some of those involved appear to have often had but a skimpy understanding of the development literature and comparative experiences in various countries. They have been subject specialists. They have approached projects from particular disciplinary backgrounds, have been far from international in outlook or working experience and have been drawn into project frameworks largely because that has been the approach pursued by the funding agencies. In the case of personnel in the Southern institution, the arrangement between Northern and Southern institutions has often been viewed as a convenient infusion of support, rather than as a distinct, development project. The development project is "a Northern concept."

Many qualities are relevant to all participants in the management of development projects — be they in the public sector, NGOs, businesses or universities. These include: ethical standards and sensitivity to cultural differences; concern for local priorities; emphasis on partnership rather than dependency; openness to change, not only when forced but to prevent problems; committed individuals; sound management efficiency and financial practices; recognition of the importance of learning from experience, routine reports; and iterative planning procedures.

University dimensions are frequently nuances built around the kinds of points mentioned above. For example, each university should define specific ethical guidelines. Also, an assessment must be made of the opportunity costs to the university of people working overseas, for example, at the height of the academic teaching year. The desired interface, between teaching, research and elements of community service must play a significant role in determining whether a university is the appropriate institution to be engaged in a particular project. The value of publications and developing a good institutional memory system should be given importance. Funding possibilities may indeed be attractive, but will the university be able to perform well, or do so without major distortions to other priorities? If the honest answer is no, the project may still be appropriate for individual faculty consultations or leave-of-absence arrangements. However, the university as an institution may decide not to become a stakeholder in the development project. Perhaps the project should not advance beyond, for example, a first-generation kind of relationship or, alternatively, perhaps a private corporation or NGO should be the leading stakeholder.

The development project has proved to be a useful framework for practical, imaginative and efficient international activities by universities, both in the North and South. The concept brings an additional degree of structured sustainability to

the more traditional, first-generation kinds of activities. It must never be forgotten, however, that Northern and Southern partners, while indeed forging formal development project contracts and other kinds of agreements, will inevitably be seeing the implications, responsibilities and desired outcomes from different vantage points. The project concept can help clarify the precise focus of activities, but it may not (nor necessarily should) influence broader priorities within which these activities are being fitted. Distinct projects can be excellent bridges to wider-ranging, longer-term endeavours, as well as clearly definable components within them. This brings us to third-generation programs or networks.

Any university which remains withdrawn into itself, or retreats behind narrow frontiers, reduces its scope of action and closes itself to cultural and scientific achievement of a universal nature.

— Sybil Patterson, University of Guyana

PART 4: Third-Generation Networks: From Project to Program

As a critical conscience, the university must be innovative: it must anticipate and define needed changes, which in turn it must promote and commit itself to.
— Carlyle Guerra De Macedo, director general, Pan American Health Organization

Defining a third-generation program

Partnership programs or networks (both concepts are included within third-generation frameworks) evolve when a development project's outer limits prove to be confining or inadequate. Thus whereas a development project is relatively focused and self-contained, a third-generation framework encompasses a more comprehensive set of activities. Although it may contain a number of development projects within some programming structure (e.g., to establish environmental centres in a number of universities and ministries in countries A and B), it can also be more open-ended in terms of time limits, fields and areas.

From a university's vantage point, third-generation agreements are likely to require longer-term commitments of time and resources, as well as a role within a family of (sometimes disparate) partner organizations; frequently some form of consortium may be formed, requiring a degree of dilution of the identities of the individual members within the overall partnership. For many universities, third-generation endeavours are a relatively new phase of engagement in international development cooperation and, as such, the process for determining the appropriate structure can be somewhat stressful as different interests compete for a significant role.

Agreements-in-principle can be useful bridging mechanisms between second- and third-generation phases, as they can provide broad and relatively unthreatening frameworks within which the partners can shape their working relations and determine sets of project and program activities. Contracts can then be annexed, from time to time, to the overall agreement — as and when they are relevant, as funds are negotiated and so on.

> *The senior professors, through their visits to different universities in eastern and western Canada, obtained a tremendous amount of insight into educational programs in different cultural backgrounds. We got a preliminary understanding of the Canadian educational system, which is characterized by equality, decentralization and diversity. It provided a useful reference point for upgrading the present doctoral programs in education in China.*
>
> *With these years' of association with Canadian universities, a good foundation and network for future exchange have been established. We have determined to consolidate the joint work and benefits achieved, by having further cooperation with Canadian academic partners. We have proposed to host a symposium in the sociology of education and develop joint research in the fields of moral education and school psycho-counseling. We urged the State Education Commission to support and promote such a linkage since it will produce long-term benefits to Chinese education, which is of urgent importance for China's future.*
>
> — Professor Lu Jie, project director, Nanjing Normal University

In Tables 1 and 2, a number of characteristics are associated with third-generation frameworks. These include an emphasis on a network of capacity-building activities and a strategic management orientation. The spatial scope may be more extensive than for a development project and the range of activities is often more varied, on a larger-scale and more open-ended. The time frame tends to be longer, a number of projects may be clustered within a program framework, some form of planning/programming/budgeting system may be in place (with an output and not just an objects purchased orientation), the research may be quite complex, the teaching components may be integrated into degree or other programs and interdisciplinary curricula may be in use.

The impetus for third-generation approaches

The impetus for third-generation approaches has come from several quarters. International development projects have often opened up a series of new opportunities or complexities that are best responded to in a more holistic, flexible and programmatic way. "Planning by successive approximations" can have many attractions for human resource development agreements. Moreover, universities responsible for project management may have found that they lack the capacity to undertake larger or more varied commitments or, in turn, have recognized the need for partners from other sectors and, perhaps, the advantages of a consortium approach. A wider mix of funding sources and structures may have been viewed as essential, before embarking on further commitments. As in the promotion of development project frameworks, foreign aid agencies have their own imperatives in terms of third-generation approaches. Many of the larger aid agencies (CIDA has been among the leaders) have moved progressively toward country program approaches, and even broader regional frameworks within which to allocate ODA. Although working within Treasury Board guidelines, CIDA has promoted the delegation of larger amounts of funding for longer periods for management by universities and, even more often, by private-sector-led consortia. Universities are

increasingly joining such consortia as parts of program teams.

Illiteracy, poverty, disease, population explosion, strifes are all part of a vicious cycle. Each is important and urgent, but dealing with them one by one is a waste of time and effort. We have to take a holistic approach.

— Prime Minister P.V. Narasimha Rao of India

The potential value of third-generation approaches becomes apparent for a number of themes. For example, integrated rural development and environmental protection invariably warrant more than a single project approach. In rural development, emphasis on simply increasing agricultural output and productivity is likely to be inadequate: educational, health, transport, gender equity, clean water and other basic needs are likely to require a concerted approach. In the case of environmental protection, simply stopping pollution is likely to be an inadequately simplistic approach to a situation that will probably require a host of changes, new legislation and bodies with authority to enforce it.

As universities become associated with other kinds of partners in international activities, the logic of more integrated frameworks for action becomes apparent. In the private sector, both large and small corporations work in increasingly complex production and marketing systems that criss-cross national boundaries, ideologies and legal jurisdictions. Policy advocacy becomes an element of strategic management. Communication technology is increasingly "wiring" research and other pieces of organizations more closely together. Similarly, the activities of many international NGOs with disaster relief as a main mandate are often now linked with disaster prevention and preparedness, rehabilitation and (with increasing frequency) peacekeeping. Universities are making important contributions to the work of both private-sector and NGO organizations.

Inasmuch as there is and will continue to be a great need, not only for functionally educated human resources, but also for expansion of knowledge and awareness in the populations as a whole, partnerships and mutual assistance among government and nongovernmental agencies must be upheld and enhanced.

— Abel G.M. Ishumi, professor, faculty of education, Dar es Salaam, Tanzania

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Three cases of third-generation activities

To illustrate the kinds of third-generation linkages that have been evolving, three simplified cases are outlined (for greater detail, see McAllister 1994, chapters 5, 6, 13 and 18). A number of generalizations will then be suggested.

Case 1: A marine biologist, on the faculty of University A, wrote a review paper on aquaculture research for a journal. It aroused considerable interest and he was asked by a local government department to work with fishermen in a coastal region, close to his

university, on a pilot aquaculture project. After three years, an international development agency invited him to visit Thailand and discuss the lessons learned from his work in Canada. Two years and several visits later, a contract was drawn up between a unit of his university and a government agency in Thailand, under which a five-year development project would be undertaken jointly. The biologist's team (a group approach was now part of the project format) concentrated on the development of an improved strain of tilapia suitable for more rapid growth in certain kinds of village aquaculture ponds. The pilot project was a technical success; periodically, university classes were based on this case study in both Canada and Thailand. An international conference used the project as a centrepiece.

However, it became clear from a broader perspective that this was very much a pilot project and was not likely to generate much long-term impact. To move the project into a "sustainable development stream" would require a series of new elements. A number of partner institutions formed a loose consortium, funds were drawn together from a variety of sources and a more comprehensive set of activities was embarked on. Among the outcomes were: a better understanding of many social and cultural issues; the design of new kinds of extension training programs (to be managed by partner institutions) for village people with minimal formal education; the building of effective political support at several levels (including the village level); an assurance of long-term, flexible financing; and access, on a routine basis, to a number of people with appropriate skills, who were able to solve problems quickly. Many of these people were drawn from different organizations in Canada, Thailand and elsewhere (including Indonesia). A number of communities then began to harvest improved strains of tilapia from their locally managed ponds.

Case 2: The initial impetus, for the second case came from a high school teacher. Universities became partners later in the process, first at the project then at the program level. High School B, in Canada, organized a 1-week study visit for 10 students and a teacher to The Gambia during March break. Earlier, the teacher had worked in that country as a CUSO volunteer-teacher for 6 months. The trip was intended to be a learning experience for the students, and it was. The teacher decided to repeat the venture the following year. This time the new group took books, small musical instruments and audiovisual resources as a gift to a school in The Gambia. As a result of repeat visits over time, a development project evolved funded by CIDA. The contract involved the development of two new subjects for the sister school's curriculum (made possible by Canadian teacher and student help) and the purchase of some computers and a small bus. Planning was based on a four-year time frame.

The problems apparent in the country were substantial. High School B became progressively more involved in health and community development; 10 years later, it had negotiated a number of further contracts with several funding agencies to undertake programs that included providing AIDS information to school teachers in The Gambia, establishing several community-level clinics, reinforcing a number of local economic development projects and supporting a new teacher-training program at the embryonic

university college in The Gambia. In Canada, the high school also established a network of organizations, initially to raise funds for its work. These became fused into the Nova Scotia–Gambia Association. It also began to play an educational role in Canada, bringing together parents, university faculty volunteers and community representatives. This process widened their understanding of that part of Africa and, through this, of many dimensions of Third World realities and Canadian foreign aid policy.

The program then went on to develop substantial links in three (Canadian) universities and gained the active support of the mayor and administration of Halifax. As a result of the link with the university community, The Gambia case experiences were routinely published and, in turn, attracted additional interest and connections. The overall program became a dynamic, interactive case study at the hub of a development economics class at Dalhousie University. The overall network continues to expand and is opening up new partnership horizons, including linkages with other countries.

Case 3: The third case began in a somewhat routine manner, but then branched into a partnership with a private-sector consortium. University C recruited a faculty member to teach environmental studies. By chance, he had substantial working experience in an overseas nation. The government of that country periodically sought his advice, and he traveled there two or three times each year for up to four weeks at a time. A (Canadian) overseas' development agency became interested in the overseas country for strategic reasons. The faculty member was invited to establish a development project, with a five-year lifespan, to train university students from the overseas country in Canada, so they could then return and teach environmental studies in their home universities, as well as work in government departments and in business in that field. One project led to another, largely through several, three-year extensions.

The Canadian aid agency then sought to transfer many of its operational responsibilities to the private sector. As part of this process, the management of programs, instead of individual projects, was contracted out.

University C now had to compete, in a market-driven environment, for a contract to continue (and extend) its project work in the overseas nation. A decision was made to quadruple the scale of the project to make the university a significant player in the proposed new consortium. Some 80% of the university's program was now linked not to the university or public sector (as had previously been the case), but to the private sector. University C had to hire new staff, who fit uncomfortably, at first, into a university environment because they were used to the procedures of commercial operations. Numerous new linkages did begin to develop and a section of the university found itself becoming much more entrepreneurial in outlook. It is as yet unclear whether, for all the talk of "deliverables," the fragile connections that had promised a sustainable program will become stronger or fragmented, now that privatization has occurred.

A number of more general points, of relevance to third-generation frameworks, might be drawn from these three examples. They include:

1) The first case was built around an individual's expertise and research commitment. It became a project, then further broadened as new disciplines and insights became necessary. It could be argued that they were desirable from the start, but the essential points are that a committed individual "stuck with it," the process had continuity and a progressively more holistic approach to problem-solving occurred.

   As the first case broadened its range, so did the number and variety of institutions in all countries involved. The Canadian biologist and his university stayed at the heart of the Canadian end of the process and a number of teaching and research benefits were generated in the various institutions. No significant Canadian community involvement occurred, however, after the initial stage of the process. There would have been scope for additional Canadian benefits had a broader conceptual framework been in place at an earlier stage. In the partner countries, the importance of education and extensive participation at the local community levels (not just focused in university and government research institutes) became increasingly recognized and proved essential for the success of the programs.

2) The second case was also built by, and around, the skills and commitment of an individual. What started as a modest educational, almost tourist experience for a small group of Canadian school students, became far more widely oriented and aimed at broadening the experience of Canadian school and university students, their parents' horizons and those of other teachers, through targeted, development projects, then later through a dynamic program (in The Gambia). As the program developed, it became far less viewed as a matter of Canadians giving and learning than as institutions and communities of both countries sharing experiences, skills and problems. Representatives from disadvantaged and minority groups in Atlantic Canada became involved in the programming. Routine newsletters were published. The process has been very much the product of a grassroots approach and suggests sustainable development qualities.

Implicit in almost everything we have learned through the Gambia Project is [that]... ordinary people from all walks of life can participate in international development work — people, if they are given any kind of an opportunity, can become actors, stage-hands or producers in a stage-play. The opportunities for learning and doing provided by the Gambia Project have attracted...people of diverse ages, education and backgrounds who defy the current cynicism . . .

— Burris Devanney former principal of the J.L. Ilsley High School, Halifax

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Canadian university involvement was initially not a significant element, in the second case, but at later stages it did become an increasingly important contributor through faculty inputs (as visiting resources to the overseas country, as instructors to Canadian students going overseas etc.), through the provision of graduate student assistants, through receiving some of the Canadian high school graduates who had been overseas and encouraging them to do university studies in

their new interests, through enabling teachers and graduates from the developing nation to study in Canada (at the Canadian universities involved). This required a responsive and noncompetitive attitude on the part of the Canadian universities and also considerable flexibility among the faculty. It generated numerous benefits to some of the university students and faculty members. Regular assessments from the vantage point of The Gambians became important dimensions of the planning process.

3) The third case (with Indonesia) is also an extension of the work of a committed individual to a development project phase, then to a complex network. In this case the Canadian university extended its work into a field dominated by private-sector philosophy and procedures. There were many stresses and strains within the Canadian university as this project series evolved, in large part because the goals became increasingly imaginative and its funding and commitments grew rapidly. In some part, it was because of difficulties balancing the entrepreneurial skills of the key initiator with adequate support systems.

   This third case, perhaps even more than the other two, highlights the need for any university to be careful to develop strategic management skills and procedures, as and if it progresses into third-generation frameworks. There is a difference between an ad hoc "thickening of projects" (i.e., additional, larger and a more complex series of projects) and a third-generation relationship that includes strategic goal setting and management.

These cases are far from exhaustive. They illustrate the kinds of dimensions to be found in third-generation partnerships and also suggest some arbitrariness as to when one phase can be said to have fully evolved into another. The boundaries are far from clear. However, given that these are relatively new frameworks for universities, it is suggested there is a need for a series of comparative studies of a cross-section of the growing number of third-generation cases. This could perhaps best be undertaken under the combined auspices of CIDA, IDRC and AUCC.

Far more needs to be known, in particular, about the implications of such broader frameworks for the partner university and other institutions in the developing nations. Although the assurance of longer-term and more comprehensive commitments from Northern partners may appear to be desirable, these could have high costs, such as a growing sense of long-term dependency, a distortion of longer-term, local priorities, increased political pressures on the (developing nation) university and the consequent risk of less academic independence, the infusion of inappropriate and insensitive cultural attitudes and so on. Not all such risks are confined to third-generation relationships; development projects (and even some first-generation links) can create some of these problems. However, because third-generation partnerships are of such a long-term and wide-ranging character, they may carry more dangers. Conversely, of course, the benefits of an effective program could far outweigh the costs. However, it is important to identify

approaches that will prevent potential problems of a serious nature. More needs to be learned.

Designs for decision-making and integration

Earlier, it was suggested that any university embarking on international activities be advised to establish codes of conduct or principles. These could help prevent some of the potential problems noted in the previous section. Although they were made 25 years ago, MacKenzie's (1961) comments on the overseas projects of the University of British Columbia, (Walmsley 1970, p.3) may unfortunately strike a responsive chord in many university administrators today:

> Every university administrator must keep in mind that in the main no provision has been made by anyone for these special programs, however worthy, which are being wished upon us. We in the universities are more than willing to assume our share of the responsibility for helping the developing countries but the fact is that Canadian universities are themselves desperately short of funds for their own essential needs.

As a university makes a commitment to undertake third-generation activities, it becomes imperative that it review and refine its management and operating systems and procedures, as they apply to such activities. The following aids to decision-making, analysis and integration are suggested as some technical approaches that could be helpful:

> Whether universities move into third-generation activities as an extension of development projects (probably the most frequent route), or as an outcome of some variant of outward–inward planning (which can be far riskier), a coherent decision-making process is necessary. The decision tree (Figure 8) provides a structure for such a process in a series of steps, both in Canada (for example) and in the partner country. It can be used with program and project frameworks, when decisions to become involved at those levels are made, and it can facilitate connections at the community level. It should not be seen as a top-down system; community-level inputs are essential ingredients and must be relayed back to facilitate a participatory process. I do not believe that this method has been used by universities. However, a variant has been successfully developed out of a review of a number of NGOs and their behaviour in disaster situations (Anderson and Woodrow 1989). It is now a widely used reference for several NGOs (including the International Federation of Red Cross and Red Crescent Societies and Save the Children Fund).

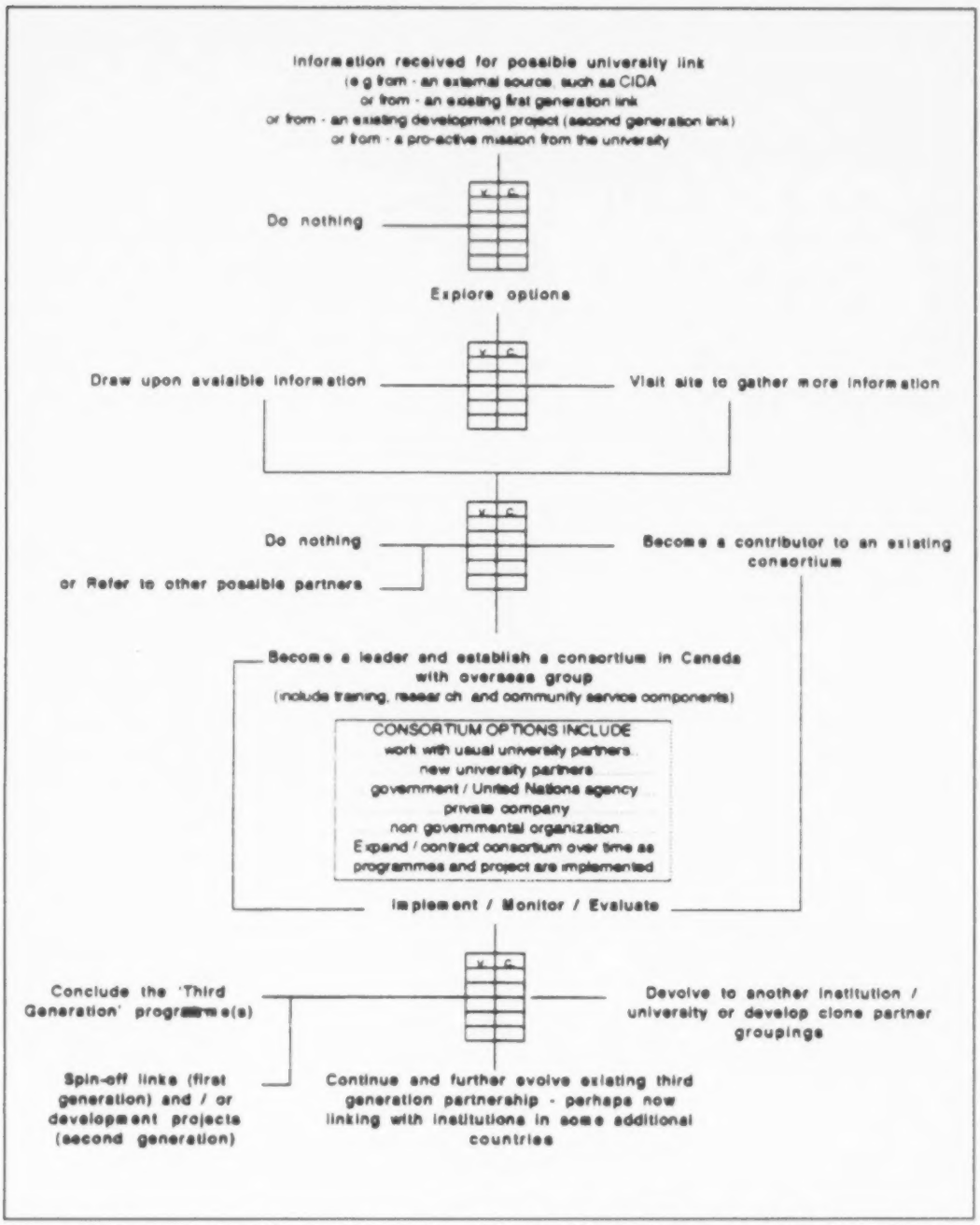
Information received for possible university link
(e.g. from - an external source, such as CIDA
or from - an existing first generation link
or from - a pro-active mission from the university
Do nothing
Explore options
Draw upon available information
Visit site to gather more information
Do nothing
or Refer to other possible partners
Become a contributor to an existing consortium
Become a leader and establish a consortium in Canada with overseas group
(include training, research and community service components)
CONSORTIUM OPTIONS INCLUDE
work with usual university partners
new university partners
government / United Nations agency
private company
non governmental organization
Expand / contract consortium over time as programmes and project are implemented
Implement / Monitor / Evaluate
Conclude the 'Third Generation' programme(s)
Devolve to another institution / university or develop clone partner groupings
Spin-off links (first generation) and / or development projects (second generation)
Continue and further evolve existing third generation partnership - perhaps now linking with institutions in some additional countries

Figure 8 Strategic decision tree for universities deciding whether to undertake a third-generation program.

Note: The boxes are decision points that require assessment of institutional vulnerabilities (v.) and capacities (c.), as part of the decision-making process.

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A link between the decision-tree model and a situation analysis (whether of a project, community or organization) can be made through a capacity–vulnerability framework. This is illustrated in the case of a Canadian university and institutions in Ghana. Figures 9, 10 and 11 illustrate how links can be made in a manner that can be useful for third-generation program design and assessment. Again, this is not to be viewed as a top-down model (although it is ideally suited for strategic management purposes) but as an iterative model, whereby grassroots decision-making and guidance can inform the top managers and vice versa.

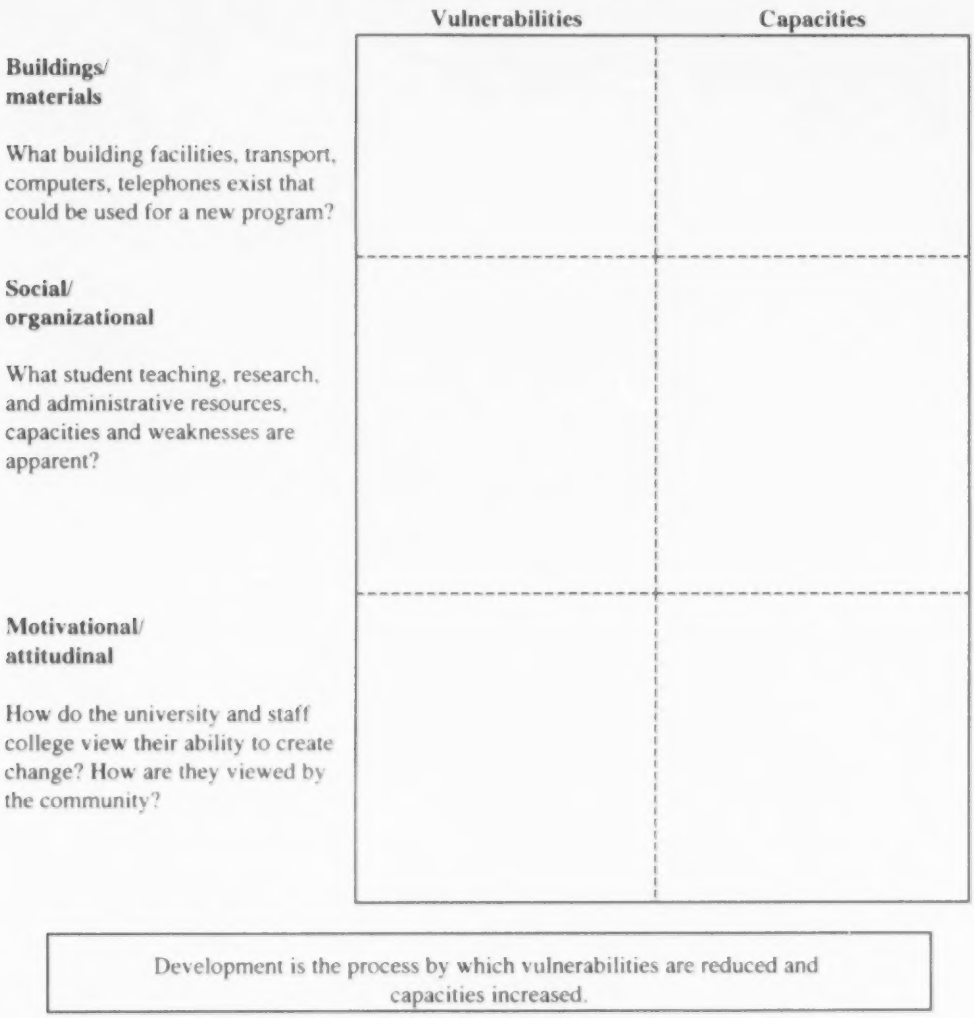
Vulnerabilities
Capacities
Buildings/ materials
What building facilities, transport, computers, telephones exist that could be used for a new program?
Social/ organizational
What student teaching, research, and administrative resources, capacities and weaknesses are apparent?
Motivational/ attitudinal
How do the university and staff college view their ability to create change? How are they viewed by the community?
Development is the process by which vulnerabilities are reduced and capacities increased.

Figure 9 Capacity–vulnerability analysis in a Ghana case study for a proposed institutional development program in international cooperation.

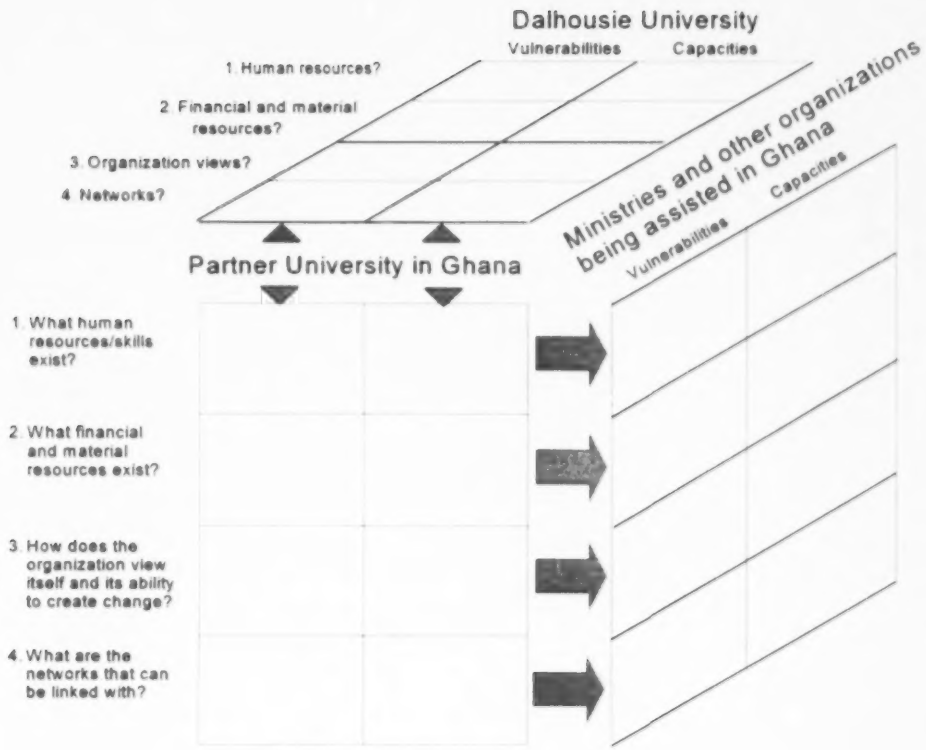
Dalhousie University
Vulnerabilities
Capacities
1. Human resources?
2. Financial and material resources?
3. Organization views?
4. Networks?
Partner University in Ghana
Ministries and other organizations being assisted in Ghana
Vulnerabilities
Capacities
1. What human resources/skills exist?
2. What financial and material resources exist?
3. How does the organization view itself and its ability to create change?
4. What are the networks that can be linked with?

Figure 10 Analysis of vulnerabilities and capacities: a Canadian university linked with Ghana.

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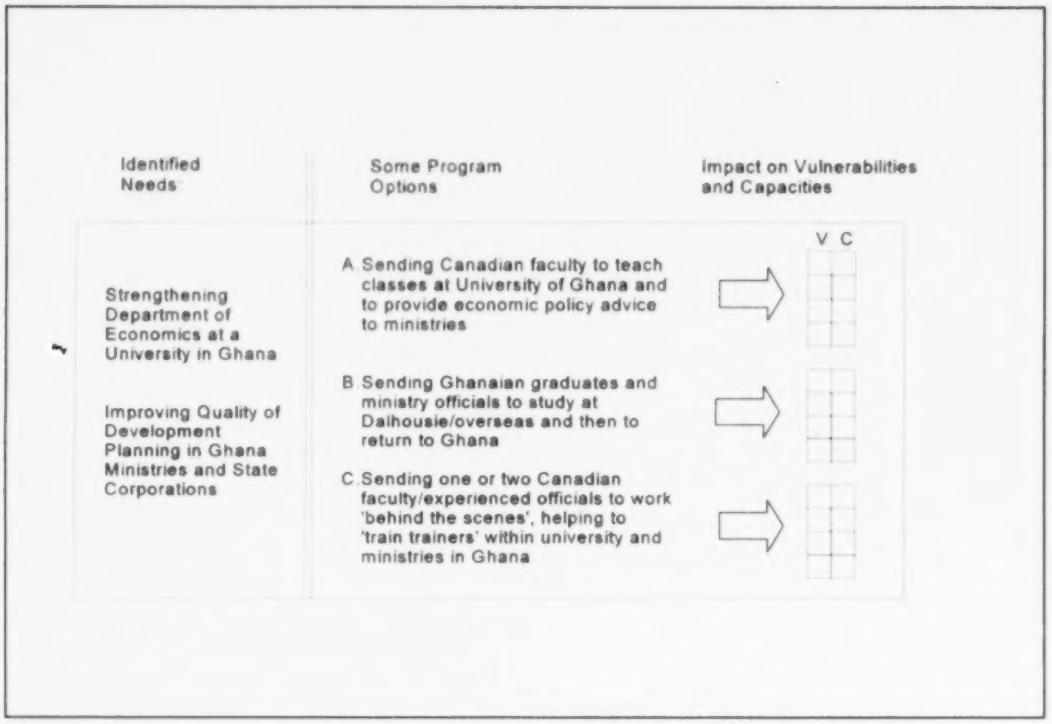
Identified Needs
Some Program Options
Impact on Vulnerabilities and Capacities
V C
Strengthening Department of Economics at a University in Ghana
Improving Quality of Development Planning in Ghana Ministries and State Corporations
A Sending Canadian faculty to teach classes at University of Ghana and to provide economic policy advice to ministries
B Sending Ghanaian graduates and ministry officials to study at Dalhousie/overseas and then to return to Ghana
C Sending one or two Canadian faculty/experienced officials to work 'behind the scenes', helping to 'train trainers' within university and ministries in Ghana

Figure 11 Program options and their impacts on capacities and vulnerabilities.

> Third-generation activities include many parties, which means that, however tidy the university's own set of guidelines might appear, they will have to be integrated, in some workable fashion, with those of the other organizations involved both in Canada and in the country(ies) where partner institutions are working. The guidelines will often have several levels of detail.

Examples of some such guidelines appear in Tables 6 and 7. Both sets were drawn up by Northern institutions. Partner institutions in the South may not use the same kind of format, but yet frequently conference speeches or consulting study reports will contain important points to be integrated (see, for example, the lessons identified by Joshua Gwitira of Zimbabwe [box]). Probably the most straightforward way to make use of such guidelines is by drawing up a check list, in cooperation with the funding and implementing parties. Basic to the integration of any guidelines into check-list forms are three basic rules: keep them brief, avoid ambiguity, do not let them dominate the decision-making process but rather use them routinely as reference points.

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Table 6 New CIDA guidelines

Guidelines for Effective Programming will be adopted . . . based on the lessons of more than 40 years of development experience.

Developing country needs and participation: by responding to the needs and priorities of developing country partners and placing a strong emphasis on local participation and ownership in all stages of programming.

Knowledge of the context: by basing program design on a thorough knowledge of local conditions and by drawing on the lessons learned, in order to inform policies and ongoing programming.

Promoting self-sustaining activities: by focusing on achieving results that will continue to provide benefits to local citizens and sustain local support after Canadian support ends.

Coordination with others: by working with developing country governments and institutions, international organizations and development agencies to coordinate efforts more effectively.

Drawing on Canadian capacity: by strengthening cooperation with Canadians to ensure that Canadian know-how is put to work for the benefit of developing countries in activities where Canada has a clear comparative advantage.

Source: Canada 1995, pp. 45–46.

Table 7 OECD Development Assistance Committee guidelines

Lessons of experience from evaluating programs are:

1) The objectives (including political and commercial ones) of program aid often tend to be diffuse and need to be better focused and defined.

2) Non-project aid should be fully incorporated as part of a multi-year country programming process.

3) Program aid is most likely to be effective when it is concentrated on a sector, when it is combined with complementary inputs and when it is provided within an appropriate policy framework.

4) Procurement-tied program aid seldom proves to be as rapid in terms of disbursements as expected.

5) Individual donors are rarely effective in promoting economic reform through non-project assistance. They should therefore work in consent with other donors and the international financial institutions.

6) When urgent balance-of-payment assistance is required, tied program aid should focus on imported recurrent inputs rather than investment goods . . . Sectorally oriented program aid is more appropriate for longer-term assistance and provides a means for focusing development resources on broader sector issues which cannot be encompassed in standard project aid.

7) Non-project aid would considerably benefit from strengthened preparation and appraisal and a more consistent approach to implementation. Sectorally oriented non-project aid in particular, in order to be effective, requires rigorous technical and economic analysis to determine the policy, institutional and other reforms which may be required. Special studies, carefully integrated with the local agencies involved in policy making, are often necessary to define and integrate with needed policy actions.

8) Sectorally oriented non-project aid would usually benefit by being associated with technical assistance for institutional strengthening. In some cases, technical assistance may even have to precede such non-project aid.

Source: Cassen and Associates 1994, pp. 127–129, drawing on 1984 OECD material.

Some perspectives from Zimbabwe

I would like to present some lessons that we have learned which relate to partnerships for sustainable development. First, in regard to South-South partnerships, very little has been done to bring such linkages about. In most cases when people are talking about collaboration and partnerships, the automatic thing that comes into their minds is partnership between the North and the South. There has been very little cross-fertilization of ideas, or the sharing of common experiences and problems on a South-South basis. This applies to universities in the South, to NGOs, and to other research institutes. The result has been a duplication of effort and, in fact, a duplication of errors in different parts of the Third World. The reason for this is related to funding, because donor organizations have generally been reluctant to fund South-South networks. South-South collaboration is one area that the United Nations Conference on Environment and Development process should promote. Northern universities could play a significant role in promoting this process in addition to facilitating North-South collaboration.

Second, there is very little collaboration among the various types of institutions existing in the South, even within the same country. There is little collaboration between universities and NGOs, universities and public research institutes, or universities and other institutions of higher learning. For example, in the relationship between universities and non-governmental organizations, the NGOs usually accuse the universities of doing academic research which is devoid of practical realities, of theorizing in the pursuit of academic excellence. On the other hand, NGOs are accused by universities and other research institutes, of doing ad hoc research which has no academic credibility, whatsoever. The complementarity of university research and NGO action on the ground is totally ignored, when, in fact, resources should be ploughed into supporting this type of collaboration.

In terms of North-South partnerships several of these linkages have been tried. The partnerships usually take the form of skills transfers, technology transfer, or information exchange. Partnerships of northern NGOs and southern NGOs usually take the form of funding arrangements... There are also other bilateral linkages at a governmental level which I will not consider here.

My observation over the years has been that the development fraternity operates according to fads and fashion. These fads are usually linked to the flow of resources into development work in the South. Fashion is not a good basis for Third World development, let alone Third World sustainable development. The development fraternity is a dynamic industry which ensures its own sustainability through sloganeering and catch phrases that, in many cases, have no definite meaning . . . Each time these catch phrases surface, people from different parts of the world will be moving into the South, dangling funds to support the catch phrases.

Another problem I have noticed with North-South partnerships is that the development agenda, the themes we are pursuing, the priorities, or even the paradigms and hypotheses we are testing, in the South and even for the development of the South, in most cases, are prescribed from the North. For example, we have had millions of dollars spent on wildlife management programs while, nearby, people are starving. In such cases, the priorities would have been determined by northern wildlife organizations having the funds to support the wildlife activity without considering the human needs in the particular area. As another example, schoolchildren in Zimbabwe will talk about the ozone layer and are quite conversant with the problems associated with it. At the same time if you ask them questions relating to erosion or deforestation, which are environmental problems in their area, they will just go blank.

We need to bring into our understanding of North-South partnerships the realization that, in some cases, the partnership is skewed. Remember the politician in Southern Rhodesia, during the time of the Federation, who referred to the partnership of the horse and the rider: in the past, some "partnerships" have not been based on equality of power. Partnerships between the North and South continue to be important for both. What is required is to take a fresh look at how those linkages can be forged on mutuality.

— Joshua C. Gwitira (1992), deputy director of environment and development activities, Zimbabwe

PART 5: Institutional Management and Development Priorities

Growth must come out of our own roots, not through the grafting on to those of something which is alien to our society. We shall draw sustenance from universal human ideas and from the practical experiences of other peoples; but we start from a full acceptance of our African-ness and a belief that in our own past there is very much which is useful for our future.

— Julius Nyerere, first president of Tanzania

Processes and issues

It has been suggested that, as university commitments overseas become more complex, the management focus will move from concern with basic logistics through to a project orientation and, thence, to program and broader strategic considerations (Tables 1 and 2). In this part, a number of the management and priority setting issues are explored.

There are at least two primary sets of management teams to consider: those in the home institution and those in the overseas partner institution. In addition, two or more other management groups must be recognized: those in funding and policy agencies in both countries.

In the case of first-generation activities, the individuals involved in both countries will have to ensure support from department chairs and/or deans, but little else may be required apart from basic funding, housing, transport, health and visa arrangements. Universities have not routinely encountered major problems when individual linkages are formed. However, younger faculty members have been vulnerable to difficulties arising from overseas assignments, particularly in terms of the recognition of such work for tenure and promotion purposes. The problems of individual students have tended to be over language requirements, appropriate entry levels and the matching of courses for program accreditation in the other university. Higher fees for foreign students have become increasingly difficult to contend with in many Canadian universities and have also made some foreign students feel unwelcome. If the student is married, domestic

matters can be of great concern, as the family unit has too often been neglected by universities and funding agencies. When an individual has left a position (for example in government) to study overseas, job re-entry can also pose a problem; "out of sight, out of mind" is always a risk.

When the government classifies international students as "visitors," charges them differential fees . . . while the institutions see them as foreigners whose only utility is to "pay their dues," the path is paved for some students to treat them as residual elements in the general student community.

— Sulley Gariba, Ghanaian PhD student, Carleton University

In the case of second-generation activities, more difficult management issues have been noted. Many universities have established small units or centres to manage or oversee one (or several) of their international projects. Frequently these units have been associated with a particular department; occasionally they have become "stand-alone" institutes. A major challenge is to balance adequate independence of action with a university-wide mandate; departmental units can quickly degenerate into promoters of narrow departmental interests. The appropriate degree of independence of the unit, centre or institute from departments, faculties and other segments of administration is an issue that must be resolved on a university-by-university basis. Staff working within such organizations have often been paid through contractual grants and, as one outcome, have not enjoyed the same degree of job security as employees of regular departments. Inasmuch as such centres and institutes may not have become integrated into the broader teaching and research programs of the university, they have been viewed as on the fringe. Yet, often it has been those very centres and institutes that have injected new ideas, new research, new academic programs and new funding approaches into the universities. Their very existence can usefully challenge the status quo.

International projects have served as Trojan horses for new ideas. Many have been catalysts within both Canadian and partner organizations. Figure 12 illustrates the far from homogeneous priorities of research, teaching, community service and international work. Some common areas of priority can usually be detected, and reinforcing alliances can be built on these. However, as can be recognized from the diagram, the various elements are far from fully integrated in practice.

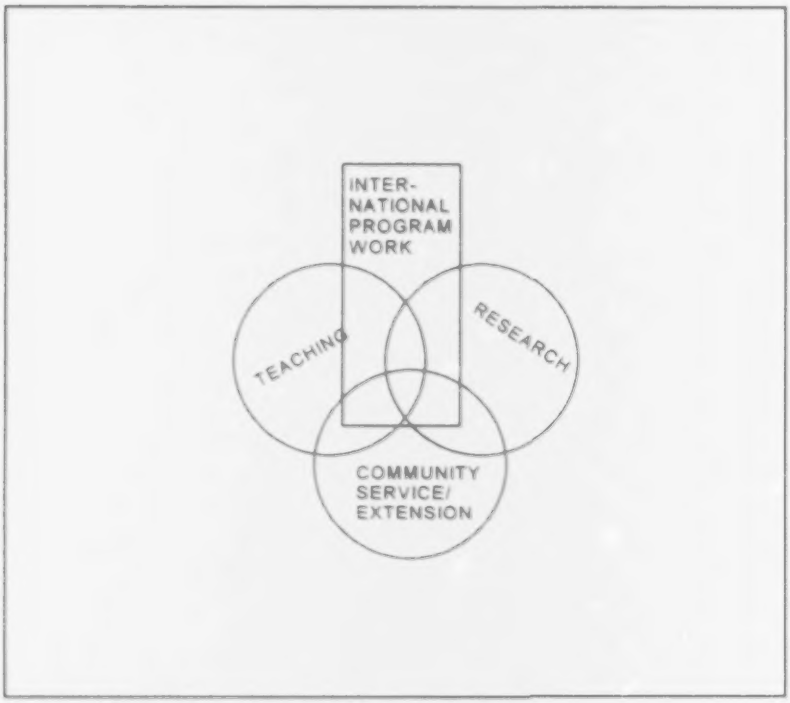

Figure 12 Fields and issues of common interest.

In the case of third-generation partnerships, new management structures are often demanded. Consortia, of some form or another, have become increasingly popular for the strategic management of third-generation programs and for ensuring that cooperation is both rewarded and reinforced. Sometimes the lead organization may be a university, sometimes an institution from the public, private or NGO sectors.

Consortium partners (whether from different nations or from different sectors) are frequently guided by significantly different, internal measures of performance (e.g., publications, research outputs, political ideologies, commercial profits, humanitarian conventions). Thus their definitions of efficiency and effectiveness can be substantially different, even though they may all be using the same vocabulary.

It is fundamental for the very future of our universities, nay of our countries, that we change the patterns of student mobility which to date have been for the most part south to north and the flow of ideas and staff mobility which have been largely north to south. But this change can only succeed as a concomitant of south/south and more particularly regional cooperation.

— Walter J. Kamba, vice chancellor, University of Zimbabwe

Once formed, consortia readily take on an identity of their own. In their terms, they may indeed become both efficient and effective. They may also far outdistance the visions, operational frameworks and managerial capabilities of member institutions — be they in Northern or Southern nations.

When a university embarks on substantive third-generation program commitments, particularly if it is designated the lead institution of a consortium, it is almost certainly going to have to rethink its approaches, acquire new management skills and surrender some of its identity. This has to be recognized at the outset or a series of misunderstandings and problems will obstruct future work.

Premises and paradigms

As university commitments move into third-generation frameworks, it becomes even more clear that the premises (including basic development paradigms), on which future cooperation is to be built, must be defined by the management groups within each institution that will be involved.

Without seeking to parody past or present premises, the following has probably not been far from the truth for quite a high percentage of university partnership arrangements. First-generation links have often been an outcome of curiosity-driven activities, individual scholarship opportunities, missionary-style commitments or a widespread belief in Northern technical superiority. When faculty, for example, have gone overseas (from industrial nations) they have been contracted as "experts." As already noted, the flow of faculty has tended to be one way — from North to South. The flow of students has tended to be in the opposite direction (obviously some have then stayed in the North — creating a "brain drain" — but that has not usually been a part of most development goals of either North or South).

From the viewpoint of many Southern institutions, visiting Northerners have been treated with considerable indulgence; sometimes they have been seen as a useful sign of external recognition, hence politically useful; on occasions they have been received with extreme gratitude, because they appeared to be both sympathetic and professionally constructive. Foreign students in Northern countries have frequently been taken for granted and little has been done, in many cases, to adjust curricula or to make other modifications that might have made their experiences more relevant to their needs back home, or even educationally of value to the host (Northern) university and its broader community (e.g., local schools, chambers of commerce, NGOs).

I found myself very lonely and secluded. These instances would occur many times when I found myself helpless and frustrated. I wanted to express my feelings to someone, but to whom? Everyone was so busy and there was no one to listen to my nonsense words. I could not go out to visit since I was not familiar with the place nor could I think about recreation [since I was] loaded with course work. I was terribly uncomfortable with the situation. Constrained with tension and frustration I cried for my family, and felt very badly about it. Then I realized why so many people bring their families along with them. I could not enjoy anywhere and when I went back to my apartment I felt bored. Only one solution to relieve these problems was to call back home, and the consequences -- a $300-a-month bill -- cutting short the monthly living expenditure which would have been enough to support the total family members had they been together.

— From "Personal perspectives: a look through our eyes: Samira's story." *International News*, University of Alberta, March 1995

After having been here, there are so many things about home that I value much more, that I took for granted. I will go back and be inspired to do so much that I hadn't thought of before.

— Susan Maina, Kenyan student at University of Alberta

The lot of an African student in Canada has never been a rosy one. The problems vary among students. Those who are married, like myself, have to live in two worlds: the academic world, and the world of the family with its attendant problems. For others the problems may range from financial insecurity, the uncertainty of a student's prospects for getting a job when he or she returns home, language or accent barriers, the climate, immigration problems, and certainly not being academically well-prepared to pursue a course. All these problems are frequent causes of student unhappiness and failure.

— Olu Olojede, Nigeria, graduate student at Dalhousie University

In the case of second-generation projects, the contractual language of funding agencies has been couched in terms of the project as "development support," i.e., the rich nation assisting the poor. Concepts of development aid may have changed over the years, but one country is still viewed as helping another, partly for humanitarian reasons, partly (sometimes) for security or political reasons and, increasingly, partly to promote trade. Even disaster relief has often been allocated to "countries with a future," rather than to victims in need. As noted, recipient institutions have often not viewed development support as confined to particular projects, even when the funding agency may have declared it as such, but rather as infusions of foreign exchange and other support into an ongoing process. This has sometimes led them to allocate the resources, as best they can, to their wider priorities, rather than conforming to the letter of particular contracts. Needless to say, such an approach can be an auditor's nightmare.

In the case of third-generation frameworks, aid philosophy is clearly less settled. For example, one critique (Bernard et al. 1992, pp. 5–6) of one of Canada's most comprehensive third-generation approaches (human resource development linkages with China), concluded that

> At the heart . . . is a certain ambiguity about the desired impact that is driving the China Program's education and training activities. Do we want good relations with Chinese decision makers or are we searching for institutional change and improvement? Is the development of relations . . . and good experiences enough? Are we satisfied with providing institutional support (inputs) or do we want to be held accountable for institutional development (outputs)? Is attempting to participate in international change in China a form of "imposition" that is not acceptable to either the Chinese or their Canadian partners?

In another recent report, Morgan and Baser (1993, P. 52) comment:

> When dealing with large Asian states such as China, India or Indonesia, the "manageable interest" and leverage of donors is likely to be limited. In such cases, sustainability frameworks will likely function as guidelines for monitoring progress. In smaller countries with less capacity, they can be used to shape project design and guide implementation . . .

The new vision for technical cooperation (TC) moves capacity building and sustainability from the periphery to the centre of TC thinking. Donors are moving away from the old notion of TC as a means to achieve technical performance targets. The focus is shifting from activities to be implemented to capacities to be developed.

As universities become increasingly involved in a "thickening of second stage projects" and eventually in third-generation networks, it becomes increasingly clear that the assumptions behind each phase of their international work must be re-examined. Comparative information such as that gathered by the AUCC on internationalization and summarized in Appendix 6 can greatly facilitate such processes. Third-generation partnerships, especially, call for strategic management by the cooperant university partners. Deliberately ambiguous or pragmatic philosophies may have a place in situations of rapid change and complex international restructuring, but only if flexible management systems can target and retarget sharply focused and attainable goals and program strategies. Some question whether universities have the capability to manage third-generation international programming at all. Thus, for example, David Gray (1992, p. 30) writes,

> In the university sector, Canadian universities are concerned primarily with teaching and research. They are not known for their innovations in institutional development or as agents of change in Canada. Therefore, it may be unrealistic to expect them to play that role in other universities . . .

> Chinese counterpart institutions encounter constraints and uncertainty which may (similarly) limit their ability and autonomy to plan and implement linkage projects strategically.

It is hard to see why universities should be any worse at strategic management than other organizations. It is by no means clear that international NGOs, businesses or governments have intrinsic advantages in this particular aspect. The world is complex, and every kind of institution is currently struggling to clarify its visions and to become more strategic in its approaches.

Agendas for change

Universities are as caught up in the whirlwinds of change as governments, businesses and the nongovernmental sector. To journey from Canada, with its national emphasis on institutional downsizing, to Indonesia or China, with their expanding markets, congested cities and new university campuses, is a study in contrasts. To travel from Romania to Ethiopia, or even to island-hop from Jamaica to Cuba, is to encounter societies under great duress and university communities enmeshed in debates over ideologic redesign.

In their recent report, the co-chairs of the Commission on Global Governance (Carlsson and Ramphal 1995, p. xix) remarked:

> Time is not on the side of indecision. Important choices must be made now, because we are at a threshold of a new era. That newness is self-evident; people everywhere know it, as do governments, though not all admit to it. We can, for example, go forward to a new era of security that responds to law and collective will and common responsibility by placing the security of people at the centre. Or we can go backwards to the spirit and methods of . . . [a] "sheriff's posse" — dressed up to masquerade as global action.

There should be no question of which way we go. But the right way requires the assertion of the values of internationalism, the primacy of the rule of law world-wide, and institutional reforms that secure and sustain them.

It has been through the marriage of science and humanities, through the bridging of teaching and research and through the guardianship of human rights and a capacity to be relevant in the service of the community, that universities have, at their best, proved to be resilient and dynamic spawning grounds for progress. At their worst, they have been self-serving, elitist and inefficient institutions, vaunting life-styles and ceremonial pageantry in lieu of substance or a sense of responsibility for the needs of the regions in which they may be situated.

International linkages can provide perspectives and stimulate new insights from across cultures and ideological systems.
Photo: B. Schmidt, IDRC; testing prototype of Filippini windmill rotor in Ethiopia (University of Waterloo project).

International linkages can provide perspectives and stimulate new insights from across cultures and ideologic systems; they can help to reinforce progress and to strengthen capacities; they can provide opportunities to study cautionary lessons and reduce, thereby, previously unrecognized vulnerabilities; they can help stimulate new avenues of research and investigation. In short, international partnerships can facilitate the discovery and sharing of knowledge about development and how, in a reasonable manner, peoples might work together for a fairer and more sustainable future.

The accountability of the university is ultimately no different from that of any other social sector; it must demonstrate the relevance of its role to social needs and the effectiveness with which it performs that role. Its function in this context is not something determined once and for all. It has a heredity, rooted in the freedom of inquiry, but this heredity must be expressed in interaction with an ever-changing social environment. Its autonomy is, in fact, an existential one; it exists and is defined through the exercise of the freedom that is essentially the freedom to act.

— Frederico Mayor, Conference on Academic Freedom and University Autonomy, 5 May 1992, Siraia, Romania

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Appendices

APPENDIX 1: Halifax Declaration

Human demands on the planet are now of a volume and kind that, unless changed substantially, threaten the future well-being of all living species. Universities and their graduates must be significant actors if those demands are now to be shaped into the sustainable and equitable forms necessary for a wholesome future environment.

As the international community marshals its endeavours for a sustainable future, focused on the United Nations Conference on Environment and Development (UNCED) in Brazil in 1992, universities in all countries are increasingly examining their own roles and responsibilities. At Talloires, France in October 1990, a conference held under the auspices of Tufts University of the United States issued a declaration of environmental commitment that has attracted the support of more than 100 universities from many countries. At Halifax, Canada in December 1991, a gathering of university representatives addressed the challenge of environmentally sustainable development at the call of the IAU, the United Nations University, the AUCC, and Dalhousie University.

The Dalhousie meeting added its voice to those many others worldwide that are deeply concerned about the continuing widespread degradation of the Earth's environment, about the pervasive influence of poverty on the belief that solutions to these problems can be effective only to the extent that the mutual vulnerability of all societies, in the South and in the North, is recognized, and that the energies and skills of people everywhere be employed in a positive, cooperative fashion. Because the educational, research and public service roles of universities enable them to be competent, effective contributors to the major attitudinal and policy changes necessary for a sustainable future, the Dalhousie meeting invited the dedication of all universities to the following actions:

1) To ensure that the voice of the university be clear and uncompromising in its commitment to the principle and practice of sustainable development within the university, and at the local, national and global levels.

2) To utilize the intellectual resources of the university to encourage a better understanding on the part of society of the physical and biological and social dangers facing the planet Earth.

3) To emphasize the ethical obligations of the present generation to overcome those current malpractices of resource utilization and those widespread circumstance of intolerable human disparity which lie at the root of environmental unsustainability.

4) To establish whatever programs are necessary within the university to generate the capability and the capacity necessary to diminish environmental illiteracy and enhance ethical awareness on the part of all graduating students.

5) To cooperate with one another and with all segments of society in the pursuit of

practical, effective revision and reversals of those current practices which contribute to environmental degradation, to South-North disparities and to inter-generational inequity.

6) To employ all channels open to the university to communicate these undertakings to UNCED, to governments and to the public at large.

Prepared at Dalhousie University, Halifax, Canada, 11 December 1991.
Source: *Journal of Higher Education Policy* 1991, 5 (1), 53.

APPENDIX 2: Laws of Linkages

1) Linkages are a means to an end and not an end in themselves.

2) The end goal of a linkage should be to internationalize your institution.

3) The core of the internationalization of an institution is the internationalization of its curriculum — and you must have a plan for that before you proceed to negotiate linkages.

4) You must therefore have a plan on how you want to internationalize — your institution, your faculty, your department or your program — in what direction, and with what priorities before you embark on such linkages.

5) The best linkages are those which are based on mutual respect and reciprocity and in which there are clear and anticipated benefits for both parties.

6) Do not seek a linkage based solely on the prestige of the other institution. To be successful, a linkage needs to involve a genuine mutual assessment of the needs you both have.

7) The priorities of your linkage should be governed by:

- your home institution's overall international mission;
- the plan and commitment to internationalize your curriculum;
- your home institution's existing or proposed international and study abroad programs.

8) You need to be flexible and creative in your response to the needs and constraints of other institutions.

9) Too many linkages are just signatures on pieces of paper. Linkages should be very clearly arrived at, very carefully implemented and very carefully evaluated.

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APPENDIX 3: Ideas from the Centre for International Programs, University of Guelph

In 1965, a Senate Committee was appointed to examine the broad question of international studies at the University of Guelph. The committee was active for approximately two years and recommended that "the University of Guelph adopt the conscious operating policy with a point of view that International Affairs are a legitimate, desirable and integral aspect of the total process of higher education." This recommendation included the areas of teaching, research and community services. The Committee recommended the following:

1) That the University of Guelph adopt not only an international philosophy which holds that university teaching, research and service are most relevant in a world context.

2) That the international dimension be suffused throughout all existing university structures and not tacked on as an afterthought.

3) That the established competence of this university in agricultural, veterinary and house sciences be the basis for this development.

4) That the overseas projects be linked inseparably with graduate studies abroad (for both Canadians and overseas students) and the campus teaching and research programs.

5) That faculty participation as advisors in technical assistance projects be regarded as part of the university program and that such participation be considered an advantage both academically and as regards benefits, for faculty personnel and for the university as a whole.

6) That overseas projects be undertaken on an "institution-building" basis to promote self-sufficiency in the host institution.

7) That a number of hard-headed criteria be adhered to in relation to the initiation of overseas projects. Not the least of these is the "comprehensive" approach to development.

8) That the financing of all overseas technical assistance projects be underwritten by non-university sources, especially the External Aid Office and philanthropic foundations.

9) That special attention be given to the programs for students from developing countries both on this campus and in their home countries when under the jurisdiction of this university.

10) That the University of Guelph develop cooperative working relations with other universities in Ontario that are interested in international affairs and technical assistance, leading, hopefully, to a consortium for international cooperation.

11) That the library and other supportive educational resources on campus take account of these new demands upon them.

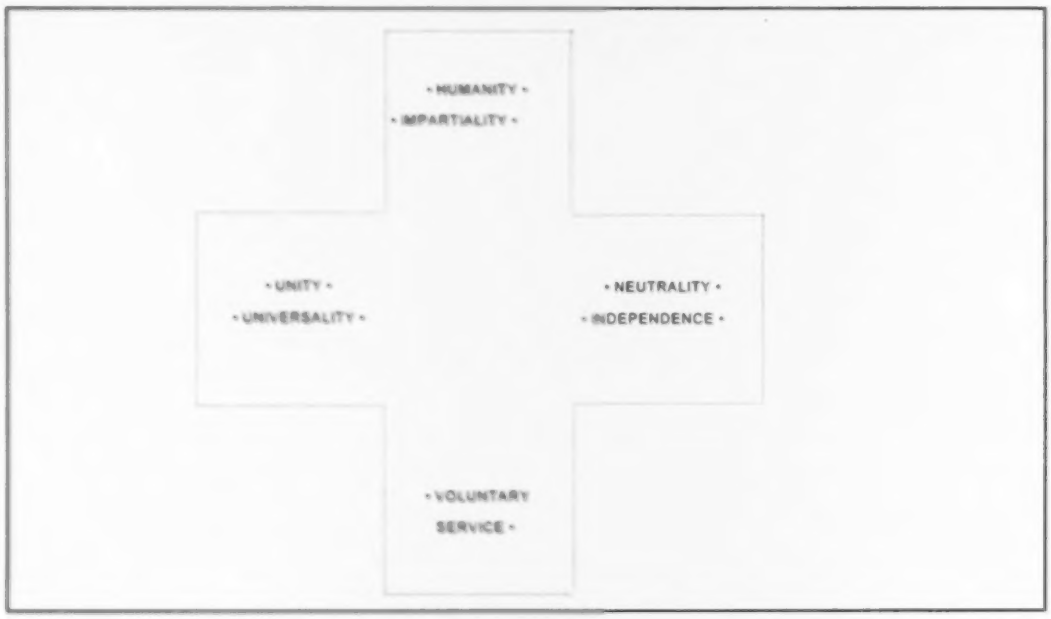
12) That a Committee on International Programs be established in each college to assist in the development of each college's special international interests.

13) That a Centre for International Programs be created, headed by a director who is responsible to the vice-president (academic) and appointed to Senate ex-officio. He should report to Senate regularly on the affairs of the centre.

The centre was formed in 1969 and has operated within the above recommendations since that time.

APPENDIX 4: The Seven Fundamental Principles of the Red Cross and Red Crescent Movement

One of the most experienced of international organizations is the International Red Cross Movement. Since the middle of the last century, aid has routinely been distributed through its complex network of interlocked national societies. The Red Cross has built its procedural approaches on a series of conventions (the Geneva conventions) and principles (seven fundamental principles) (McAllister 1991). The former became the building blocks of international humanitarian law; the latter have been reference points for codes of behaviour of the 163 national societies of the movement. The figure summarizes these principles.



These principles, for all their ambiguities as a package, have proved to be a common basis for effective planning and cooperative actions by the movement in times of war and natural disasters. Obviously many refinements have occurred but, like the 10 commandments, they have provided a start.

APPENDIX 5: Techniques Used in Rapid Rural Appraisal and Participatory Rural Appraisal

- Direct observation
- Try it yourself
- Key indicators
- Semi-structured interviews
- Key informants
- Group interviews
- Chain of interviews
- Transects and group walks
- Maps and mapping, aerial photographs
- Diagrams, drawing combined with discussion
- Ranking, rating, scoring, stratifying and quantification
- Ethno-histories
- Historical mapping
- Stories
- Community case studies, anecdotes and descriptions
- Group meetings
- Murals and posters
- Community environment assessment
- Survival surveys
- Participatory action records
- Popular theatre, community directed visual images
- Team interactions
- Key probes
- Questionnaires

Systematic sampling may be used in rapid rural appraisal/participatory rural appraisal techniques and should form part of more rigorous techniques.

Source: Chambers (1983).

APPENDIX 6: AUCC Survey on Internationalization

In fall 1991, in preparation for its regular board meeting, the AUCC conducted a survey on internationalization with its 89 member institutions. According to the responses:

- 63% had references to an international role in their mission statements
- 35% required knowledge of a second language for first degree graduation
- 68% offered students terms of a year of study abroad
- 25% reported a formal link between faculty exchanges and the inclusion of an international dimension in the undergraduate experience; however 74% were taking steps to encourage the introduction of a global perspective into the undergraduate curriculum; and 69% make use of international students or faculty with international experience to contribute an international perspective to the curriculum
- 46% provided opportunities for Canadian students with international experience to contribute an international dimension to the curriculum
- 77% were actively involved in human resources development in developing countries
- 63% offered business studies programs with a curriculum that trains graduates to operate in other countries
- 55% make specific efforts to attract international undergraduate and graduate students
- 59% indicated that internationalization has resulted in or encouraged more interdisciplinary collaboration within their institutions

Source: *UniWorld* Winter/Spring 1992, p. 8.

APPENDIX 7: Excerpts from AUCC's *UniWorld*

The following excerpts from AUCC's *UniWorld* illustrate something of the variety of Canadian university overseas development contributions.

Learning about the South in the South

For the past five years, students in Trent University's comparative development studies program have been learning first hand about the problems that face developing countries. Students in their third year of the interdisciplinary honours program spend a year studying in Ecuador. The university has worked out an arrangement with two universities in the city of Ibarra in northern Ecuador that allows the Trent students to enroll in courses there while taking core courses from a Trent professor who travels with them. "I think the importance of this program is primarily the fact we are taking our students from their relatively comfortable classroom and familiar surroundings so that they are not just learning about the courses they are being taught but are submerged in another culture both socioeconomically and physically," says Karanja Njoroge, chair of Trent's International Program.

- *UniWorld* Winter/Spring 1992, p 10

Another Look at Native Education

Laurentian University's involvement in a project aimed at helping students in rural China may lead to a fresh look at ways of helping Laurentian's native students cope with the unfamiliar social conditions they face in university.

The project, part of the AUCC administered Canada-China university linkage program, paired Laurentian with the Sichuan Institute of Building Materials, which admits a number of students from minority groups living in remote parts of China. These students generally experience homesickness and culture shock when they arrive in the more urban setting of a university campus.

The two institutions worked together to design a special pre-university year, complete with its own curriculum and textbooks, intended to ensure that each minority student's educational background met the university's standards. The students lived with other members of their minority group, eating their usual foods and taking part in familiar cultural activities.

"They generally try to make them feel at home," says Canadian project director Frank Smith. He notes that the effort has paid off: virtually all the minority students passed their entrance examination and all completed their first year. These results contrast with previously high rates of failure and dropout.

Dr Smith says the experience has left him and others eager to apply the same principles to Laurentian's incoming native students, who confront similar problems of transition and adaptation to campus life... Such a program has already been implemented at Lakehead University. "I'm hoping we can do the same thing here," says Dr Smith. "If we do, it will be at least partly because of the success we achieved in China."

- *UniWorld* Fall 1993/Winter 1994, p 10

Brandon Links with Swaziland

Brandon University is working with the University of Swaziland to strengthen the academic capability of its faculty. During the five-year CIDA project, 18 faculty members from the University of Swaziland will complete masters or doctoral degrees in Canada. As well, nine Canadians from universities across the country will work in Swaziland replacing faculty on training or strengthening the university's departments. The project also provides $300 000 worth of library and instructional materials to support researchers. Dr Pandy Halamandaris, Brandon's director of international development projects, hopes the linkage will continue long after the project is completed. "As people go back they will be able to have contact with the Canadian university for support and research in the future."

- *UniWorld* Fall 1991, p 9

Being Able to Ask the Right Questions

The office of International Education Services at the University of Guelph has set up a new mentor program to provide assistance to international women graduate students. "There are a lot of women who come from different cultures, who because of that culture are not capable of gaining the full benefit of the education that is available," says Dr Mary Buhr, associate professor of animal and poultry science, and a mentor in the program. "For example, if you come from a culture where you can't query man's authority and your male advisor in Canada wants input, you may be placed in a situation where you as a female from another culture simply may not be able to respond in the same way that a Canadian student would." The mentor program gives these international students access to female faculty members who provide them with advice.

- *UniWorld* Winter 1993, p 14

Canadian Radio Network Provides Information to Farmers Around the World

Originally based at the University of Guelph, the Developing Countries Farm Radio Network (DCFRN) offers an exchange of practical information on low-cost farming techniques between farmers in developing countries. Information is distributed as radio scripts and adapted by participants for local use in radio spots, leaflets, or community education.

DCRFN's Canadian-based staff send out professionally written scripts to over 700 participants who together reach an audience of over 100 million listeners. The only payment for the use of the scripts is to send in ideas to the network. "The premise is that there are really good ideas floating around which might be very popular in one country and people in another country may have never hear of them," says Elizabeth Wilson, director of DCFRN. A recent script passed on information to farmers about boiling the seeds and leaves of the neem tree to make an extract that has proven to be a very effective pesticide.

- *UniWorld* Fall 1992, p 19

Discoveries — McGill University

Thousands of square kilometres of Malaysia are currently lost to slurry ponds, the result of open-pit tin mining. These ponds not only hinder housing construction but are the cause of serious health, safety and environmental problems.

With funding from IDRC, Raymond Yong of McGill's Geotechnical Research Centre and researchers at the University of Malaya, the Universiti Teknologi Malaysia and the Geological Survey of Malaysia, have developed techniques to solve the problem.

Natural latex, an abundant local product, is used to remove solids from pond water, which is then pumped out and treated for pollutants. Preventing future subsidence is accomplished by mixing soil and various hardening chemicals into the loose material left in the pit.

If soil is mechanically compacted as the pit is filled, housing construction can begin three months later.

- *UniWorld* Spring/Summer 1994, p 5

Sierra Leone: Energy Solutions

A linkage between the Technical University of Nova Scotia (TUNS) and the University of Sierra Leone has been established to find appropriate solutions to Sierra Leone's energy problems. Fuel shortages occur regularly and the West African country spends 70% of its export earnings on imported fuel. Every sector of Sierra Leone's economy suffers, including farmers who cannot effectively dry and process their crops because of the high cost or lack of fuel to operate rice mills. TUNS is providing the training and technology that will allow the University of Sierre Leone to produce energy from the gasification of crop residues such as rice husks.

"This would provide an inexpensive, environmentally safe and independent power supply for the farm sector," says Dr Ismet Ugursal, the project director at TUNS.

Collaboration between the two universities, supported by $1 million from CIDA, will involve the training of graduate and postgraduate students, faculty and technicians from the University of Sierra Leone. According to Dr Ugursal, this will allow the university to continue to work on indigenous solutions to Sierra Leone's energy problems after the 5-year project ends in 1998.

- *UniWorld* Spring/Summer 1993 p 14

Discoveries — Université Laval

Jute, which forms the basis of rope, carpets and sack cloth, is an important cash crop in many southern Asia countries. Until now however, the lower grades of jute had to be discarded because the husks of the plant did not break down sufficiently when soaked in water, the traditional method of extracting the fibres from which rope and yarn are made.

Chemical engineers at Laval, however, working with researchers at the Bangladesh Jute Research Institute, have developed a way to increase the microbial activity that allows the fibre extraction. With funding from IDRC they have isolated enzymes that speed up the biochemical process and make it possible to extract fibres from lower grades of jute.

By increasing the number of grades from which fibres can be extracted this technology should eventually lead to an increase in the incomes of Asian jute farmers.

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Discoveries — Carleton University

A management plan developed by a multidisciplinary team from Carleton University and Universidad Nacional Autonoma de Mexico may lead to the preservation of one of Mexico's last remaining rainforests. The intense involvement of local people in developing the plan and their continuing participation in the conservation effort may also make the plan a model for solving similar problems in other Mexican regions.

The rainforest, called the Sierra de los Tuxtlas, lies southeast of Mexico City on the Gulf of Mexico in the state of Veracruz. Over the past 40 years, cattle ranching, commercial coffee production and colonization by landless farmers have reduced it from 200 000 hectares to 30 000. Concentration on beef and coffee has also driven many of the area's inhabitants out of agriculture and into poverty, degraded the land and depleted water supplies.

Despite the establishment in 1980 of an 80 000 hectare zone called the Sierra de Santa marta Biosphere Reserve, little was done to preserve the region until the multidisciplinary university team, with funding from IDRC, began developing its management plan. The team included anthropologists, sociologists, biologists and geographers from both universities.

The plan proposes marketing organic rainforest products, sustainable agriculture on the forest's edge, and alternative land use strategies such as vanilla production. It also supports indigenous initiatives for forest conservation. The goal is to ensure that the food and income needs of the people living in the area are met without destroying plant and animal life.

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Discoveries — University of Waterloo

Computer scientists at the University of Waterloo are giving a new dimension to a personal computer software package designed to be used in developing countries to extract information from census figures. When work is completed, the software (called REDATAM), through a link with a geographic information system, will produce various types of information in map, not tabular, form.

The current undertaking is the third phase of a long-term project to develop an inexpensive software package for IBM-compatible personal computers that can be used in planning and decision-making in geographic areas as small city blocks. Originally developed at the United Nations Latin American Demographic Centre in Chile, the software is already being used in 30 Latin American and Caribbean countries.

In this phase of the project, tools are also being developed to assist users in making social and economic development decisions. These include school location planning, tourism development at the municipal level.

REDATAM was designed and tested with funding from CIDA. Phase three is receiving slightly over $500 000 in support from IDRC.

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Francophonie Scholarships

Over the past three years, 222 students from countries in the Francophonie have graduated from Canadian universities with new skills that contribute to their countries' development. At present, 300 students are studying at francophone institutions in Canada under the CIDA-sponsored Francophonie scholarship program. The program provides students from the 34 member-countries of the Francophonie in Africa, Asia and the Caribbean with the opportunity to obtain a bachelor's, master's or doctoral degree. The scholarships are for a maximum of five years. They cover tuition fees and provide students with $1000 a month to cover expenses. Although the majority of the students are enrolled in Quebec universities, about 10% attend French-language programs at universities outside Quebec. According to Yveline Côté, who heads up the program's secretariat in Quebec's Ministry of Education, students are accepted on the basis that their studies in areas such as health, education, administration, food science, industry, forestry and engineering will help meet their countries' development priorities. Graduates are expected to pass on their training to others when they return home. The program has been running for six years and Ms Côté says an evaluation of the impact of returned graduates is under way.

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Discoveries — McGill University

Malaria kills more than one million people every year, many of them children. At one time it was believed that medicine was controlling the disease, but drug-resistant mosquito-transported strains and changes in environmental conditions have led to malaria's resurgence.

Research has shown that mosquito bed nets impregnated with insecticides are an effective method of control. Finding ways to promote their use is the aim of McGill's Centre for Tropical Diseases. With this goal in mind, the centre has been working with two organizations in Benin: the Organisation savaloise pour la solidarité et le développement and the Centre de promotion sociale de Savalouo.

Because bed nets in the area are traditionally made from scrap fabric, the researchers decided to import inexpensive but good quality netting from a Montreal firm. Nets were made from this material by a local women's group.

This group was also instrumental in promoting the bed nets use. Its members have helped design and carry out surveys about the nets and have advocated their use as part of the group's program of community and health promotion.

The Benin project was funded by IDRC, which is also working with the World Health Organization of a multi-country African study to obtain more evidence of the nets' effectiveness in reducing child mortality from malaria.

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This monograph is about universities and international development cooperation.

Topics include:

- changing ideas about development
- development assistance and universities
- student and faculty exchanges and links
- universities and project-driven management
- linking with business and government
- learning from NGOs
- capacity building at home and abroad.

Insights and approaches are drawn from a number of comparative university experiences, as well as from UN, government, business and NGO evaluations and procedures. A variety of suggestions are made as to how benefits might be expanded and costs reduced.

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